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Electronic Grants Management Systems in State Criminal Justice Administering Agencies

An Assessment

FINAL REPORT

BJA Bureau of Justice Assistance

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Foremost, the NCJA and IJIS Institute recognize the vision and support of the Bureau of Justice Assistance (BJA), Office of Justice Programs (OJP), United States Department of Justice, to meet the needs of the State Administering Agencies (SAAs), which are responsible for the management and administration of criminal justice resources, and the thousands of applicants on the front line of public safety that use federal resources to prevent and control crime. Special appreciation is given to Dustin Koonce, Policy Manager, BJA, for his leadership, insights, and timely support in the conduct of this assessment.

Executive Summary

Electronic grants management systems (*e*GMS), used to administer and track grants and other procurement actions, are no longer just desirable management tools. Such systems are becoming an indispensable part of the organization's business practice to assist both the funding agency and grant recipients in a number of very important ways. Among the more evident advantages of these systems are to achieve administrative efficiencies in making the grant application process easier, faster, and less costly; allow agencies and organizations to use important program and financial information for benchmarking, performance-based budgeting, and reporting; promote more timely compliance reviews; and facilitate exchange of information to promote strategic planning and decision-making. Electronic grants management systems are especially important now, when agencies and organizations are stretching their budgets further and public expectations for service delivery are increasing.

This assessment is intended to provide a resource for the State Criminal Justice Administrative Agencies (SAAs) and other state agencies when considering the implementation of new or enhanced systems capable of providing timely and complete information about their grant programs. This document will present case studies of six SAAs, describing their efforts to design, implement, and sustain their electronic grants management systems; findings, conclusions, and recommendations based on those case studies; functional attributes that SAAs should deem as "core" to their systems; and a resource section that includes samples such as business cases, business process workflows, and a Request for Proposal toolkit.

In the course of this assessment, insights were gained on how states generally approached developing electronic grants management systems. In some states, like Michigan and Pennsylvania, the State Chief Information Office (SCIO) may be very aggressive in establishing standards and even guiding the creation of a statewide electronic grant management system that state agencies would share. In many states, however, the SCIO has remained silent about issuing guidance. Consequently, the functionality of these systems vary in allowing eligible agencies and organizations to find and apply for grants, in assisting the grantor agencies the ability to electronically award and manage grants, and supporting the close-out or final resolution of grants. Many of the systems support only financial or programmatic functions; few integrate both. In many cases, state agencies do not coordinate the development and roll-out of *e*GMS. A consequence is that information cannot be shared both horizontally (among state agencies) and/or vertically (with subgrantees and the grantor agency).

The assessment examined the areas of planning, governance, systems design, and funding. The following summarizes what we found.

Planning - Some SAAs undertook the necessary planning effort to ensure the smooth development and implementation of an electronic grants management system. However, it was also noticed that the majority of the lesser staffed SAAs were not able to thoroughly plan for their systems because of a lack of resources. In many cases, the systems were treated as "secondary" projects and did not have a dedicated management team for establishing goals, policies and procedures. The lack of a thorough planning process appears to be a pervasive and recurring problem that affects the feasibility, effectiveness, and long-term success of an electronic grants management system. It leads to poor system design, stretched project timeframes, missed deadlines, over-committed deliverables, and increased system cost.

Governance - In most cases, governance structures were not properly defined. This resulted in ad-hoc planning, designing, and implementing systems. Governance structures mostly consist of internal SAA staff, usually including the executive staff, program staff, accounting staff, and if available, the information technology staff. The SCIOs often were consulted, but were not fully engaged in the design or implementation of the system. In most cases, other state agencies did not participate. While some SAAs reported that they preferred a small working group to expedite design and implementation of their electronic grants management systems, many voiced the advantages of having wide representation that includes potential users.

Design - The majority of SAAs use the same workflow to manage grants. Eleven general steps were identified in the grant administration and management process: Funding Acquisition; Program Establishment; Subgrantees Solicitation; Subgrantees Selection (if needed); Application Processing & Award; Fiscal & Program Monitoring; Project Modification; Payment; Reporting; Close-out; and Audits. It was observed that due to funding and other resource limitations, most SAAs adopted a modular approach in their design.

Funding - The majority of SAAs reported that very little funding was available to plan, develop, and implement eGMS efforts. Furthermore, most funding originated from "program dollars" set-asides or a portion of the administrative funding. Few SAAs are leveraging state resources to support their system. Additional reviews allowed NCJA to conclude that governance structures that involved little or no participation from SCIOs and other state agencies resulted in reduced statewide support for funding. The assessment, however, confirms that states do use their own resources to leverage federal monies and unify multiple funding streams to create improved grant management systems that can serve the needs of all state agencies.

Despite the shortfalls found in how the SAAs go about planning, funding, and governing their electronic systems, there are promising indicators and strategies that should help. For example, the Pennsylvania Commission on Crime and Delinquency and the New York Division of Criminal Justice are committed to sharing their business plans, business flow, and functional software with other agencies so that they may benefit from lessons learned and some of the developmental costs. We also found that the State Chief Information Officers (SCIOs) are becoming full partners in designing and

implementing electronic systems. For example, the Michigan Department of Information Technology is directing an effort to unify multiple grant management silos by building a common platform and enhancing system operations. Moreover, with the creation of the federal Grants.Gov initiative, the need for state electronic grant management systems have become more apparent to the SCIOs as a more cost effective way to manage the millions of dollars in grant funds going to the states from the federal government. Finally, the Inter-Agency Electronic Grants Committee (IAEGC) is working closely with the United State Office of Management and Budget to develop creative ways for states to use federal resources to support electronic grants management systems.

The most important findings from this assessment are:

1) Planning and governance are essential to ensure that you bring together the key stakeholders, leverage the resources needed to implement and sustain your system, and establish a road map that will guide your work.

2) The grants management process follows a rather standard set of categories – Find, Apply, Manage, and Close, regardless of the grant program. Within these four categories or modules, there are common business events and functionalities that you need to integrate into your system during the planning and design phases.

3) Your system should be modular, so that you can add to or otherwise modify your system as future needs require.

4) Collaboration with your SCIO is important to ensure that you integrate your efforts with existing state policies and procedures. Contact with other SAAs that administer electronic grants management systems can assist your efforts by identifying existing architectures that may expedite your planning and design process.

5) Some states, like New York, Ohio, Pennsylvania, and Wisconsin, have already developed comprehensive electronic grants management systems which may be replicated, resulting in significant cost savings. Contact information for these and other states may be obtained by accessing http://www.ncja.org/ncja projects.html#egrants.

ELECTRONIC GRANTS MANAGEMENT SYSTEMS IN STATE CRIMINAL JUSTICE ADMINISTERING AGENCIES

AN ASSESSMENT

Introduction

A. Overview

The federal government awards more than $350 billion in grants annually. These awards support more than 900 programs from 26 federal agencies. In addition to federal grantors, states and local units of government, educational institutions, and not-for-profit organizations award grants throughout the year. Combined, these agencies and organizations support tens of thousands of grant recipients nationwide as they implement research and operational programs affecting our social, economic, educational and political structures.

Electronic grants management systems (*e*GMS), used to administer and track grants and other procurement actions, are no longer just desirable management tools. Such systems are becoming indispensable to the organization's business to assist both the funding agency and grant recipients in a number of very important ways. Among the more evident advantages of these systems are to:

- *Achieve administrative efficiencies in making the grant application process easier, faster, and less costly.* Return on Investment (ROI) studies clearly document the cost savings from electronic systems in context of personnel, supplies, and telephone expenses for both the granting organization and applicant/grant recipient. Further, studies show that these systems, if properly developed, demonstrate government's commitment to making services more easily accessible and timely.

- *Allow agencies and organizations to use important project and financial information for benchmarking, performance-based budgeting, and reporting.* Collecting and analyzing information about grant/project operations is paramount to ensure that the grant's effort is achieving its stated goals and objectives. An electronic system can provide an array of reports and indicators that, in "real time," may suggest corrective action is necessary or that the objectives need to be modified. Equally important is the ability of the SAA to collect and analyze information that may be critical in reporting to state and federal legislatures and executive offices. Timely and accurate information is imperative for all staff managing resources to meet public safety (including homeland security) problems, to deliver technical assistance

among competing demands, to identify programmatic/financial progress and outcomes, and to share best practices within the public safety community.

- *Promote more timely compliance reviews.* Grantee organizations have a stewardship responsibility to make certain that the grant recipients are complying with general and special conditions of the grant, as well as any other administrative requirements. An electronic system can allow the grantee organization to review individual grants for compliance in "real time" and facilitate the exchange of documents and information to satisfy those requirements, often negating the need for time consuming and expensive on-site reviews.

- *Facilitate exchange of information to promote strategic planning and decision-making.* Information derived from an electronic grants management system, especially one that is deployed statewide, can expand the ability of state agencies to be more comprehensive in reviewing their impact, more strategic in the use of resources, and more integrated in how state programs are delivered. Executives and senior managers need to understand how programs and projects can and should relate to one another, both within the SAA and among other state agencies. Moreover, the information can drive decision-making towards prioritizing and delivering technical assistance, identifying gaps in meeting systems' needs, disseminating best practices on a timely basis, and validating/updating the agency's strategic plan.

Electronic grants management systems are especially important now, when agencies and organizations are stretching their budgets further and public expectations for service delivery are increasing.

The Bureau of Justice Assistance (BJA), Office of Justice Programs (OJP), United States Department of Justice, asked the National Criminal Justice Association (NCJA) to conduct an assessment of electronic grants management systems and the business processes being deployed by state criminal justice planning agencies or State Administering Agencies (SAAs)[1]. The impetus for this study was the recognition that SAAs (and BJA) must be in a position to quickly assess the status of applications and awards, determine compliance with special conditions, review subgrantee performance, and summarize accomplishments for policymakers who have to make important decisions affecting the justice system. The assessment included a review of the following activities:

- Coordination with ongoing federal and state grants management efforts

[1] The SAAs, designated by the governor, plan for and manage federal and state funding programs to prevent and control crime. In some of the larger agencies, up to 30 different federal and state funding streams are administered, resulting in the award over 300 grants each year and an inventory of more than 800 in active grants.

- Documentation of grants management systems planned and implemented by SAAs
    - Business process mapping
    - Lessons learned in implementation
    - Data elements
    - Technology and non-technology issues such as personnel challenges, training, budget constraints, and vendor collaboration;

- Facilitation of peer-to-peer technical assistance through establishment of an online discussion forum and organization of focus groups; and

- Coordination and facilitation of industry technical support

This assessment is intended to provide a resource for SAAs and other state agencies when considering the implementation of new or enhanced systems capable of providing timely, accurate, and complete information about their grant programs. This document presents:

- case studies of six SAAs, describing their efforts to design, implement, and sustain their electronic grants management systems;
- findings and conclusions based on those case studies and other research;
- functional attributes that SAAs should consider a "core" to their systems; and
- a resource section that includes sample business cases, and business plans, and process workflows.

Electronic grants management systems have operated in the public and private sectors for well over a decade. Initially, most were structured to facilitate financial reporting. Advances in the enterprise of grants management have brought new capabilities to overcome or mitigate obstacles and other impediments, such as disparate operating formats and architectural configurations, redundant data entry, multiple funding sources, and security/privacy of information.

Today, electronic grants management systems are being implemented that allow agencies and organizations to handle almost all grants management functions electronically, from start to finish. The continuum of functions can be categorized into four components: ***Find, Apply, Manage, and Close.***

Find: Allows interested individuals and organizations to search online for potential grant opportunities.

Apply: Allows eligible individuals and organizations to apply online for programs announced under the *find* function. Applicants may include financial or program narrative information. Some systems will allow the applicant to revise programmatic and/or budget information prior to a funding decision by the grantor agency. Acceptance of electronic signatures from applicants speeds submission of applications.

Further, the *apply* function allows the grantor agency to shepherd the grant application through the review approval, and award process free of the limitations inherent with paper files. These latter functions are "back office" operations, usually invisible to the applicant.

Manage: Allows both the grantor agency and the grant recipient to conduct post award functions to include scheduled programmatic and financial reporting, clearance of special conditions and other compliance documents, grant monitoring, communication between grantor agency and grantee, development of general and specialized reports, issuance of programmatic or budget modifications, tracking and payment of requests for funds by the grantee, and recording status of outstanding audit exceptions. In addition, the *manage* function may allow the subgrantee to perform management tasks online to include project management software, web-based conferencing, and presentations.

Close: Allows the grantor agency to inactivate the grant at the end of the grant period upon receipt of final financial and programmatic reports, determination of compliance with special conditions and other grant requirements. This functionality may also automatically issue a letter to the grant recipient to acknowledge the inactive status of the grant and any further action needed by the subgrantee (such as record retention).

Both public and private agencies and organizations are continuing to invest significant resources in electronic grants management systems. How they go about implementing such systems can vary from merely importing existing software from another organization to conducting detailed, comprehensive business and design plans.

B. Federal

One of the key elements within the President's Management Agenda[2] is the E-Government initiative, which focuses on advancing electronic commerce as a way to manage grants and other forms of procurement. The outcomes anticipated from the initiative are to:

- provide high quality customer service;
- reduce difficulty in doing business;
- decrease operating costs;
- facilitate readier access to government;
- increase access for persons with disabilities; and
- make government more transparent and accountable.

[2] President's Management Agenda , Fiscal Year 2002, issued by the Executive Office of the President, Office of Management and Budget. http://www.whitehouse.gov/omb/budget/fy2002/mgmt.pdf.

Concurrently, the Federal Financial Assistance Management Improvement Act of 1999[3] calls for the streamlining of the federal grant process. The Grants Management Committee (GMC) of the Chief Financial Officer Council (CFOC), which coordinates the implementation of Public Law 106-107, seeks to:

- improve the effectiveness and performance of federal financial assistance programs;
- simplify federal financial assistance application and reporting requirements;
- improve the delivery of services to the public; and
- facilitate greater coordination among those responsible for delivering such services.

Directing the work of the GMC has been the Inter-agency Electronic Grants Committee (IAEGC), established for the purposes of:

- creating a common electronic application, administration and reporting system for funding from multiple programs administered by different federal agencies;
- improving interagency and intergovernmental coordination of information collection and the sharing of uniform data through the Federal Commons interface which will provide a common face of the federal government to the grantee community by providing coordinated services, including interfaces designed to support secure transmission of administrative information pursuant to pre-award and post-award grants administration business processes;
- implementing other government wide electronic grants administration initiatives; and
- assisting and providing electronic solutions to the pre-award, post-award, and audit oversight workgroups in their efforts to reduce grantee burden and improve the federal financial assistance process.

The website for the IAEGC is http://www.iaegc.gov/IAEGCstuff/Meetings/IAEGC_meetings.htm and it provides an in-depth account of the committee's work. Most recently added to this resource is a study completed by the American Productivity Quality Center (APQC) and sponsored by the U.S. Department of Health and Human Services and the Office of Grants Management and Policy. The objective of that study was to benchmark efforts by selected federal, state, and private organizations to capture promising approaches in grants management.

One of the visible outcomes from the focus on electronic government and, specifically, electronics grants management is **Grants.gov (http://grants.gov/)**, which provides a unified "storefront" for potential grantees to find and apply for federal programs[4]. In addition, Grants.gov has become a source for finding state-driven programs and potential recipients to appropriate state agencies.

[3] Public Law 106-107 (31 USC 6101 note)..

[4] Grants.gov was launched in October 2003 as a venue to find and apply for federal assistance. Plans are being developed to increase the capability of the system to include the manage and close modules.

The IAEGC has accomplished most of its purposes by making Grants.gov a reality. Some of the committee's primary functions will be absorbed within a reorganization of the P.L. 106-107 infrastructure. One of the key functions, to coordinate the federal electronic grants management efforts with state, tribal and local units of government, and non-profit organizations, will be continued through the National Grants Partnership (NGP). The mission of the NGP is to improve the effectiveness of government grants and reduce the burdens associated with grants administration. The goals of the Partnership are to:

1. Improve and develop implementation strategies to increase the effectiveness of managing federal, state and local government grants and loans.
2. Improve and develop implementation strategies to increase the effectiveness of states in applying, obtaining and managing federal grants.
3. Improve grants administration and reduce costs and associated burdens in the administration of grants.
4. Provide training and technical assistance to state and local governments.
5. Assist states in developing more cost effective statewide, interagency electronic grants management systems.
6. Create networking opportunities and facilitate communication between all stakeholders, including the federal government, state and local governments, nonprofit organizations and national associations representing affiliated members.
7. Share best practices and innovations.
8. Participate in discussions and provide input to help direct grants policies.

Another federal impetus is through the Uniform Guidelines Coalition[5] which seeks to establish uniform guidelines for budgeting, accounting, financial reporting, and auditing. These guidelines bring together requirements of various authoritative agencies, including the Office of Management and Budget (OMB) and Internal Revenue Service (IRS), to align government grant requirements with Government Accepted Accounting Principles, OMB Standard Forms 424, 424A, 269 and 272; Circulars A-21, A-87, and A-122; and IRS Form 1099.

C. States

NCJA's assessment of *e*GMS was limited to active systems or systems nearing operation within the state criminal justice planning agencies. However, in the course of our interviews in conducting this assessment, insights were gained on how states generally approached development of these systems. In some states like Michigan and Pennsylvania, the State Chief Information Office (SCIO) may be very aggressive in establishing standards and even guiding the creation of a statewide electronic grant

[5] The Coalition is directed through a technical advisory group, cosponsored by the National Association of State Auditors, Comptrollers, and Treasurers, Association of Government Accountants, The Urban Institute, the National Council of Nonprofit Associations, the Greater Washington Society of CPAs, and the Interstate and Nonprofit Advisory Group/Inter-Agency Electronic Grants Committee.

management system that state agencies would share. In many states, however, the SCIO has remained silent in issuing guidance. Consequently, the functionality of these systems vary greatly in allowing eligible agencies and organizations to find and apply for grants, in providing the grantor agencies with the ability to electronically award and manage grants, and supporting the close-out or final resolution of grants. Still, many of the systems support only financial or programmatic functions; few integrate both. In many cases, state agencies do not coordinate the development and roll out of electronic grants management systems; consequently, information cannot be shared horizontally (among state agencies) or vertically (with subgrantees and the grantor agency).

Another common theme is that most systems are developed by the individual state agencies with the likelihood of developing information "silos." These "silos" result from three factors:

- Federal funding guidelines and statutes limit allowable costs only to support the specific programs being administered by that particular agency. Federal funding "silos" therefore, have created information management silos. For example, JAG Program grants[6] awarded by BJA to the states may be used only to support information systems that focus on criminal justice. Although BJA allows administrative and program monies to be used in support of electronic grants information systems[7], which can be rather substantial, the state must restrict the expenditure of funds to that portion of the system that manages criminal justice programs and projects. Unintended, this restriction can frustrate a state's effort to cobble together funding from various federal resources to design and build a statewide system available to all state agencies administering grants. Moreover, the limitation encourages agencies to build systems exclusively for specific programs.

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[6] The Edward Byrne Memorial Justice Assistance Grant Program, established by §201 of H.R. 3036 incorporated by reference in Public Law 108-447, the Consolidated Appropriations Act, 2005 (H.R. 4818 conference report, H.Rpt. 108-792, replaces the Byrne Formula Grant Program and allow states and local governments to support a broad range of activities to prevent and control crime and to improve the criminal justice system. The eligible purpose areas are law enforcement programs, prosecution and court programs, prevention and education programs, corrections and community corrections programs, drug treatment programs, and planning, evaluation, and technology improvement programs.

[7] States may use up to 10 percent of their award for expenses related to the administration of Byrne grants, to include electronic information systems. In FY2002, BJA issued a policy that permits states, with approval of BJA, to use program funds under purpose area 15b - Criminal justice information systems to assist law enforcement, prosecution, courts and corrections organizations (including automated fingerprint identification systems) – for such systems. The amount permitted cannot exceed the state' share of the total program award. The state must agree to make available the documentation relating to design and functionality of the system and must coordinate the design and implementation of the system with the state information technology office.

- Many state agencies are under the impression that their *e*GMS must be unique in order to meet the specific needs of a particular agency and its programs. Not understanding that electronic grants management systems can perform functions across a wide range of common grant administration and management practices, individual agencies are building systems from the ground up or are adopting systems from another agency -usually in another state - doing similar work. Consequently, the systems are not interoperable, require maintenance costs that cannot be shared among agencies, and usually limited to near term needs. Some states find that, if they could pool the resources already being invested in individual or "silo" systems, the cost for designing and implementing a statewide system would pay for itself after only a few years[8].

- Electronic grants management systems are available in all sizes and configurations. There are no published or nationally accepted standards by which the private sector designs the systems or for the user to expect in its newly acquired product. Unless there is substantial effort by the state agency to fully understand the potential functionalities of the system, invest in the importance of building a business process, and ensuring that the capacity of the system can grow with the needs of the agency, the resulting system will very quickly reach its limitations or fail to meet future needs.

Finally, state agencies do not include a Return on Investment (ROI) study, as part of the planning phase, to document the cost savings and efficiencies derived from electronic grants management systems. Although users assume that such benefits and savings will result, few develop a plan to validate those assumptions and fewer conduct the study.

D. Tribal Nations

It is important to recognize the sovereignty of tribal nations, the significant criminal justice and other needs that exist in our tribal communities, and the access that our tribal units of government have to federal programs to respond to large populations covering wide geographic areas. Tribal nations do use electronic grant management systems to find and apply for federal, state, and other grant opportunities. However, our assessment indicates that tribal nations are "system users" and not system managers.

Consequently, SAAs should be aware that many Tribal Nations depend upon state-supported, electronic grants management systems and should consult with tribal communities to ensure they understand access and use of such systems. In Montana, the Board of Crime Control works closely with the tribal communities to promote awareness of solicitations and to train communities in the use of the system.

[8] Michigan estimates that approximately $4.1 million is expended by individual state agencies to implement and sustain their electronic grants management systems – nearly what the state estimates to design and implement a statewide system.

E. Methodology

The NCJA conducted two surveys of the SAAs to inventory the characteristics and application of *e*GMS. The first survey (see Appendix 1), which was administered prior to the assessment, asked the respondents to describe the capabilities of their online grants management system to perform the following functions:

- Online applications
- Online reporting
- Online financial reporting and request payments
- Preparation and printing of award documents
- Preparation and printing of grant adjustments
- Preparation and printing of financial documents
- Manager's notes or grantee contacts
- Status of Special Conditions
- Ad hoc reports
- Use for all funding sources
- Tool for annual report and plan

Of the 35 states responding, 14 SAAs reported (see Appendix 2) that they do not have online capabilities for grants management. The remaining 21 states reported either planned or implemented electronic grants management systems. Five states were in the process of planning or developing a system. Two states operated systems with three of the elements. Three SAAs reported having four elements; two states reported six elements; and four states registered eight elements. Of the seven states operating systems covering nine elements, two states – Maryland and Montana – reported that they are in the process of developing systems that will cover all 11 functions. Pennsylvania and Michigan were planning systems that would also integrate all 11 functions.

In summary, almost all of the active systems allowed interested applicants to **find** announcements of programs on the Internet. However, only six states at the time allowed interested parties to **apply** online. Although 14 SAAs indicated that their system allowed the SAA staff to **manage** grants, only six states actually supported this function as an online capability (electronic grants management by e-mail was not considered an online function). As few as 2 states allowed SAA staff to **close** grants based on receipt of final financial reports and progress reports, completed audits (where applicable), and compliance with special conditions of the grant.

A second survey (see Appendix 3) asked for more specific information about functionality, availability of business cases, supporting budget and personnel for the system, and the relationship of the system to other statewide efforts. The results, found in Appendix 4, reflect a continuum of maturity among the states, from those in the incipient stages to those with highly functional systems that support both programmatic

and financial electronic commerce. Moreover, the second survey, along with the initial one, provided summary information that would allow the NCJA to select states to participate as pilot sites and develop the case studies.

In June 2003, NCJA held its first focus group meeting (see Appendix 5), inviting representatives from SAAs managing more mature electronic grants management systems, to discuss a series of questions (see Appendix 6) that would shape the context of the assessment. These questions focused on defining an electronic grants management system and its capabilities, individuals and agencies that should be partners in the design and implementation processes, and whether the systems were truly helpful to the SAA staff in the management and administration of grants. The resultant discussions were most informative and worth summarizing:

- *One size fits all* vs. *flexibility in building the system* – Participants strongly supported the ability of agencies to develop their own systems. However, all agreed that once developed, these systems should be able to communicate with other state systems, all should be using a common or universal data dictionary, should reflect best practices, and should be modularized so that agencies can select functionalities that are most consistent with their needs and resources.

- *Partnerships* – All attendees would have included more individuals and agencies when building and implementing their systems. These individuals and agencies included the SCIOs, actual end users (subgrantees), regional planning centers, "in-house" program and financial managers, evaluators, and contractors. Some, however, expressed the concern that too large a group in the beginning, to include high level policy officials, would complicate the development process, protract the time for systems development and design, and create unnecessary constraints.

- *Proprietary Rights* - Some states that relied on vendors to design and implement the system responded that there was no access to the functional code or system documentation. Others strongly supported the state eventually having the proprietary rights to the system so that changes to the software could be made without relying on vendor support and the state could share the documentation without breaching contractual limitations.

- *Security and Privacy* vs. *Interoperability* – All agreed that the systems should be accessible to all authorized users. However, because of the sensitivity of some information, the openness of the system may be limited, even if information may be obtained through state or federal Freedom of Information Acts. Some participants acknowledged that electronic grants management systems can be compartmentalized to allow access to only those portions which are considered public information. All agreed that this topic deserves much more research and discussion, especially concerning access by federal or other potential state agency users.

Six sites (SAAs) were selected – Georgia, Montana, New York, Ohio, Pennsylvania, and South Carolina – to participate in the case studies. Among the factors used in selecting the sites were staff size of the SAA office, geographic location, size of the service population, number of federal and state funding streams administered, scope of functionality (program, financial, or both), and the range of functions (find, apply, manage, and close). Moreover, the states of New York, Ohio, Pennsylvania, and South Carolina were selected because of the maturity of their systems. Georgia and Montana were identified as having systems that were developing in a state jurisdiction with limited electronic capability.

Each of the sites provided the following documentation: business process workflow, functional requirements, data dictionary and data design, and functional design specifications. Conference calls were held with key agency representatives focusing on policy leading to the design, implementation, and sustainment of the *e*GMS (see Appendix 7). In addition, site visits were conducted in South Carolina and Georgia. The documentation from the sites, along with conversations during the conference calls and site visits, became the core for the case studies.

The NCJA held a second focus group meeting on May 14-15, 2004 (See Appendix 8) to bring together the six sites for reviewing the case studies to ensure their completeness and accuracy, agreeing on "core" functionalities that should be found in any electronic grants management system, and identifying any future technical assistance efforts that would be appropriate to help SAAs design, implement, and sustain those systems. The discussions from this meeting are incorporated in the findings and conclusions of this assessment.

As a value added to this assessment, representatives of the NCJA were invited to participate on the State, Local, Non-Profit, and Other Subcommittee and the Interstate and Non-Profit Advisory Group of the Inter-Agency Electronic Grants Committee. Inclusion of the NCJA in these two forums allowed immediate access to discussions and issues concerning the federal effort to integrate state systems and needs into the Grants.Gov initiative, as well as defining ways in which the federal government could better support state electronic grants management systems. Much discussion was focused on how to engage policy development within federal and state legislative and executive branches to embrace the benefits of such systems and find creative ways to support statewide systems, especially given the constraints of limited resources, competing priorities, and "stovepipe" funding inherent in federal programs.

The following sections focus on what we found at the pilot sites concerning planning, governance, design, and funding of *e*GMS, and recommendations for SAAs that may develop and implement their own systems.

Findings and Conclusions

A. Overview

An electronic grants management system, when properly designed and implemented, has proven to be a powerful tool to integrate, automate, and streamline the process of applying for, processing, and managing grants. Such systems allow SAAs and subgrantees to use web-based technologies and databases to eliminate unnecessary procedures and improve business workflow. In addition to promoting efficiencies, the use of these systems also enhances fund tracking capabilities and, through reporting, allows faster and easier access to critical information for key decision makers. Like most information systems, the development of a logical system requires thorough planning and the participation of all stakeholders, including subgrantees. Furthermore, the development of these information systems also requires consideration of a robust governance structure, all relevant funding streams, and the sustainment of the system.

As part of the project, the NCJA conducted surveys, conference calls, and site visits to assess how the SAAs addressed the planning, governance, design, and funding of their *e*GMS. As part of the assessment, NCJA also reviewed the various system designs and identified core modules and functional attributes.

B. Planning Efforts for Developing and Implementing an eGMS

Critical to achieving an effective electronic grants management system is the initial planning phase. As with any effort involving the implementation of an information technology application, methodical planning, organization, and adherence to a strong development process are key. The purpose of the planning process is to define and document the project effort. Definition of the project should incorporate all of the system requirements (functional and technical requirements) and project management issues (such as staff and consultant resources, project schedule, time availability, and budget issues). It includes reviewing and documenting the business process and the workflow of the grant administration and management process. Major outputs are a clear understanding of the project scope, the system's functionality, and a project plan with all the supporting details. The business plan is used to guide all phases of the effort, to promote control over the execution of the plan, and define how changes in scope will be treated during the design and implementation process.

In recent years, many SAAs have experienced a reduction in the available funds that can be used for electronic grants management systems. With limited resources, both financial and human, the importance of thorough planning has become more

essential. SAAs can take advantage of good planning to ensure that limited time, effort, and funding are properly managed.

During the review, it was observed that the SAAs endeavored to take the necessary planning effort to ensure the smooth development and implementation. However, the majority of the smaller-staffed SAAs were not able to plan as thoroughly their systems because of a lack of resources. In many cases, the systems were treated as "secondary" projects and did not have a dedicated team for developing and managing the business plan. The lack of a thorough planning process appears to be a pervasive and recurring problem that affects the long-term success of an electronic grants management system. It can lead to poor system design, stretched project timeframes, missed deadlines, over-committed deliverables, and increased system cost.

The most common planning issues that were observed during the review of the pilot sites included:

- Focusing only on immediate business needs and excluding future needs;
- opting to use existing legacy systems that could not be readily modified to meet new needs;
- omitting coordination with key stakeholders (e.g., SCIO representatives, subgrantees)
- relying on an ad-hoc planning structure drien primarily by the availability of staff and funding; and
- working without a business plan and the means to follow the business workflow.

The NCJA identified some of the efforts that states should consider for ensuring effective planning. These planning practices and approaches should allow SAA's to identify system functionalities and project management structures:

- identify and engage all key stakeholders and project staff and establish a formal planning process;
- analyze current and future needs of the agency, thereby helping to define what the *e*GMS system should do;
- build a Business Case (strategic planning, tactical planning, ROI, etc…); and
- articulate collaborations, sequence diagrams, state diagrams, and activity diagrams.

The Business Case.

When initially considering the development of an *e*GMS system, SAAs should conduct a comprehensive, strategic planning effort, leading to a business case that demonstrates the need for and justifies investing in the system. The business case will also ensure the efficient use of funds and the reduction of implementation roadblocks.

The business case documents what you want to do, why you want to do it, how you want to do it, when you want to complete critical tasks, and how you will know if you are successful. Because these cases can be rather detailed, they serve as a powerful guideline and framework when planning and designing an *e*GMS solution. SCIOs should be able to provide assistance in developing this document. Included in the

resource section of this report are sample business cases that were developed for the federal E-grants Initiative[9] and the Pennsylvania Commission on Crime and Delinquency Electronic Grant System.[10]

The establishment of a business case is a multi-step process that typically involves strategic and tactical planning activities. The following discussion provides a brief overview of these activities.

The strategic planning process begins with the assessment of the current grant management process and desired statements of vision, goals, and objectives. These activities should reveal critical issues that will need to be resolved before the system can be fully planned. In this step, SAAs and stakeholders should work together to determine the vision for the electronic grant management process, as well as identify detailed goals and objectives.

For example, one critical issue may be the scope of system. An SAA should assess if other agencies within the state are administering electronic grants management systems and determine the potential value of sharing existing systems. If no systems are in operation, the SAA may want to consider engaging other state level funding agencies (education, health, domestic preparedness) in creating a statewide electronic grant management initiative. This issue is an important one to determine up front in the planning process as it will drive who the stakeholders are, the governance structure, the design of the system, and the resources that will be needed.

Performing a needs assessment is a detailed analysis to identify the capabilities and shortcomings of the current grant management process. Specific activities include:

- Documenting the current business workflow.
- Listing the current technical capabilities and limitations.
- Identify strategic issues.
- Weighing the strengths, weaknesses, opportunities, and risks of implementing an *e*GMS.

Once completing the needs assessment, the key stakeholders should conduct a series of meetings to address strategic issues in a number of areas, including:

- Governance.
- Funding.
- Technology Standards.
- Application Standards.
- Agency Roles and Responsibilities.

Once the strategic decisions have been made, they should be documented in a plan. While this plan outlines a strategy for the next several years, it must be reviewed

[9] Resource 2 – Federal E-Grants Business Case

[10] Resource 1 - Commonwealth Electronic Grants Management Information System - General Systems Design

annually and adjusted periodically to recognize situational changes. These might include changes in priorities, funding, technology, and staff resources. The responsibility and approach for maintaining the plan should be established and enforced.

The tactical plan outlines how the SAA intends to implement the strategic vision, goals, and objectives listed above. Planning considerations generally includes:

- Dependencies and Priorities.
- Funding Availability.
- Expected user acceptance.
- Objectives.
- Approach.
- Schedule.
- Budget.
- Staff Resource Requirements.
- Management Responsibility.
- Support and Training.

Laying out the overall implementation plan will help SAAs understand the impacts of one project on another and allow for informed decisions to be made.

Return on Investment.

An important aspect of developing a business case is the Return on Investment (ROI) document. With supportive figures, an accurate and credible ROI can serve as an effective tool for obtaining high-level "buy-in", statewide support, and funding for the project.

Measuring the value of an investment is an inextricable part of developing a business case. An ROI calculation is only a part of the total value of an investment. It is an internally focused metric giving a dollar value only. The intangible benefits of an *e*GMS, such as subgrantees' satisfaction and easy access to grant information, is not associated with derived dollar value. ROI analysis entails the evaluation of the investment potential by comparing the magnitude and timing of expected gains to the investment cost.

The ROI analysis methods fall into three basic categories. A simple technique is a straight payback calculation based on projected costs and benefits. More involved techniques consider the time value of money by applying discounted cash flow analysis to the projected costs and benefits. The most sophisticated approaches apply rigorous modeling and statistical methodologies.

Depending on the scope of the eGMS project, a simple ROI analysis can suffice. Such an analysis compares the direct costs involved to establish and maintain an eGMS solution, versus the net benefits, typically the revenue and associated profit. Typical costs to establish an eGMS system can include the following items: 1) research and planning; 2) site development; 3) consulting services; 4) hardware and software; 5) hosting or connectivity; 6) marketing development; 7) training; and 8) on-going support and maintenance. The net benefits, usually revenue saved from the streamlining of

business operations, are then applied against these costs over the same time period. Some net benefits or revenue saved can include paper and reproduction costs of solicitation packages; postage costs for disseminating solicitations; travel costs to perform monitoring that can now be conducted on-line; and staff time to manage applications and awarded grants. Once the revenue projections are made, the profit is applied against the cost in the ROI analysis.

Performance Measures.

Performance measurement can be a powerful way to manage project progress and identify and rectify potential problems. As described by The Center for Society, Law and Justice[11], a performance measure is a quantitative or qualitative characterization of performance: a measure of the achievement of an objective of an organization or activity. Performance measurements typically consider the inputs, outputs, and outcomes of an activity. In the case of an *e*GMS solution, inputs include all the resources consumed by an agency during grant management workflow. Outputs are products or services produced during the grant process and delivered to subgrantees and other stakeholders. Outcomes are the expected, desired, or actual results to which outputs of the activities of an agency have an intended effect.

Performance measurement for the implementation of an eGMS provides important benefits. Performance measurement will allow the SAA to establish a true baseline for demonstrating results, align project goals with policy strategies, make project goals operational, provide data for benchmarking studies, and ensure cost effective returns on investments.

While performance measurement systems can be developed and established using a variety of approaches, it is often most useful to employ a team based process. The team should include a diverse group of stakeholders, managers and line workers to offer a wide range of knowledge, competence, experience, and viewpoints.

One of the most difficult yet critical components of designing a performance measurement system is deciding what to measure. Performance measures for eGMS solutions should focus on outcomes and be linked to goals and objectives of the grant management process. Outcomes should logically flow from the project inputs, activities, and outputs. However, as noted by The Center for Society, Law and Justice[12], it is often difficult for strategic planners to link process improvement with concepts such as public safety and reduced crime. This difficulty in making the link between process improvements and outcomes has proven to be a major challenge for project managers

The logic model framework is a useful tool that can help planners in making the link between process improvements and end outcomes. A logic model is a planning tool that provides a timeline for project activities and events and links those activities and

[11] The Center for Society, Law and Justice - *Developing Performance Measurement Systems for Justice Integration*

[12] The Center for Society, Law and Justice - *The Case for Implementing Performance Measurement*

events to end outcomes. It can help organize and guide project planning, management and evaluation. Additional detailed information concerning the logic model and performance measurement systems can be found on The Center for Society, Law and Justice website[13].

C. Governance Structure of the eGMS

The governance structure monitors the planning, design, implementation, and management of the electronic grants management system. It focuses on the processes and organizational mechanisms used by the SAA to accomplish the overall strategic goals and directions of the *e*GMS. These processes include budget and funding, procurement, personnel, policy, standards, planning and performance achievement. Through its overview and decision-making capabilities, an effective governance structure enables *e*GMS projects to adapt to policy adjustments, funding changes, and any other changes that might impact project progress.

The integrity of the governance structure relies upon meaningful participation of all the stakeholders involved, directly and indirectly. In general, the governance structure should include the participation of representatives from the following stakeholders or components: SAA staff (executive staff, accounting staff, program staff, information technology staff), SCIO, the application review/advisory committee, subgrantees (end-users), state point of contact (SPOC) designated by the Governor's Office, and other state agencies that may have already an electronic grants management system or an interest in developing one. Although some SAAs had a well-defined governance structure, most agencies lacked an adequately defined governance model. The most common governance structure issues that were observed during the review of the pilot states included:

- structures were not properly defined, resulting in ad-hoc oversight;
- structures consisted mostly of internal SAA staff with no participation of external stakeholders;
- structures were loose, resulting in the budget, funding, procurement, and personnel processes with substantial gaps.
- governance models were represented by a single, internal information technology person;
- state chief information officers were consulted, but not fully engaged in design or implementation; and
- informal governance structures often resulted in difficulty getting started, stagnating projects, and little statewide buy-in for the electronic grant information system initiatives.

D. Designing

System design and subsequent functionality are based on the business process (i.e., workflow) used to administer and manage grants. As with any other information

[13] www.cslj.net

system, a complete and logical system design should address all the business requirements, or events, of the grant management process.

During the review of the pilot states, it was noticed that the majority of SAAs use the same workflow to manage grants. A total of eleven general steps were identified in the grant administration and management process. A logical and complete design should integrate, automate and streamline the following eleven general steps:

1. Funding Acquisition
2. Program Establishment
3. Subgrantee's Solicitation
4. Subgrantee's Selection (if needed)
5. Application Processing and Award
6. Fiscal and Program Monitoring
7. Project Modification
8. Payment
9. Reporting
10. Close-out
11. Audits

Each general step addresses specific a business goal in the grant management process. As detailed below is a list of all the specific business goals identified from the assessment.

1. Funding Acquisition

- Acquire Federal Funding: *SAA submits an application in order to be considered for any federal assistance award.*
- Acquire State Funding: No *application because state funds are appropriated, but program and fiscal changes can occur at any point.*
- Establish funding priorities: *SAA establishes a funding plan and creates a set of funding priorities to determine each program area's allocation.*

2. Program Establishment

- Receive Notification: *SAAs receive notification that they have received the federal or state funds.*
- Distribute Documentation: *Funding and program documentations are made available to all required SAA staff.*
- Update Systems: *The new allocation information (budget and program) is entered into the SAA systems.*

3. Subgrantees Solicitation

- Draft Solicitation Documents: *Staff members draft the funding guideline announcement and instructions. The drafts are reviewed by advisory committees,*

program managers, and executive staff. Appropriate changes are incorporated into the draft, re-reviewed, and approved.

- Transmit/Publish Solicitation Documents: *Documents are prepared and distributed to subgrantees and are published on the SAA's website for download. Technical assistance is provided to subgrantees that need logistical support (workshops). In the case of project continuation applications, the SAA distributes notifications to the appropriate subgrantees that a continuation application is due.*

4. Subgrantees Selection (if needed)

- Receive Concept Forms: *SAA receives completed concept forms from the subgrantees before the submission deadline. Concept forms are administratively reviewed and checked for omissions and disqualifications.*
- Evaluate and Select Concept Forms: *Once administratively reviewed, concept forms are scored and distributed to an evaluation team (usually program staff, and advisory committee members). Evaluation team reviews preliminary scoring and presents funding recommendations to the executive staff for review and approval. Once the concept papers have been approved, subgrantees are notified of approval or denial via letters.*

5. Application Processing & Award

- Receive Applications: *Subgrantees complete and submit all required application forms and supporting documents, including all continuation applications. In the case of continuation applications, subgrantees must also submit annual updates of the project for which they are seeking a continuation.*
- Review Applications and Award Grants: *Applications undergo a detailed fiscal review by accounting staff. Applications are also reviewed by program staff to validate program objectives and performance goals and to ensure consistency with the proposed concept papers. Several application reviews are performed before final grant approval, including reviews by advisory committees and executive personnel. The review process requires the creation of various "briefing packets" that are sent to all reviewers.*
- Obtain Signatures on Grant Documents: *Once the application receives final approval, the SAA enters into a binding agreement with the subgrantees when legally valid contracts are generated through a signature process. This step requires correspondence with the subgrantees and the production of award letters forwarded and signed by the governor, executive staff, or program staff.*

6. Fiscal and Program Monitoring

- Receive Reports from Subgrantees: *Subgrantees are required to submit periodic progress reports. If subgrantees do not submit progress reports on time, they are contacted by the accounting or program staff.*
- Perform Fiscal Reviews: *Periodic reports are reviewed by accounting staff; small mistakes are corrected by the accounting staff. Larger issues require a follow-up*

with the subgrantees. Reports are required by the accounting staff to release further payments to subgrantees.

- Perform Program Reviews: *Program staff review the progress report. Site surveys can be conducted by program staff (or subcontractors). The staff prepare a formal report, if a site survey is performed, update the report, and perform federal funding program reporting, if necessary.*

7. Project Modifications

- Receive Requests for Modifications: *When needed, subgrantees complete and submit requests for modification for time extensions.*
- Review Modification Requests: *Both the accounting and program staff conduct a preliminary review of each modification once it is received. Preliminary review notes are forwarded to the advisory committee or executive staff for formal approval.*
- Obtain Signatures: *Approved modification requests go through the same signature process as applications. The subgrantees are notified via a letter.*

8. Payment to Subgrantees

- Review Payment Requests and Determine Amount: *Payment amounts are determined during the review of periodic reports by the accounting staff.*
- Generate and Process Invoice: *Payment information is entered into the SAA accounting system and paper invoices are generated. The paper invoices are forwarded to the finance department for processing, signature and release.*

9. Reporting

- Fiscal & Program Reports: *Federal fiscal reports are prepared and delivered on a quarterly basis. Federal program reports are due annually or semi-annually.*
- Ad Hoc Reports for Miscellaneous Activities: *Ad-hoc reports are usually generated to handle data-requests from various parties.*

10. Close-Out

- Receive Final Reports: *Subgrantees are requested to submit two reports: 1) final financial report and 2) the final program and inventory report.*
- Review Reports: *The reports are reviewed by the accounting staff to see whether or not the subgrantees have met their match requirement and to check that all of the project funds were appropriately expended. Accounting staff will follow-up with the subgrantees as often as necessary to resolve issues and to satisfy the requirements of the grant.*
- Process Refund *(if needed)*: *If the subgrantees did not spend all the grant money, the SAA is entitled to a refund. If payments were not already sent to subgrantees, the money can be re-awarded for other programs. If the payments*

were already sent to subgrantees, the SAA receives a check that must be processed. In both cases, the SAA financial system is updated.

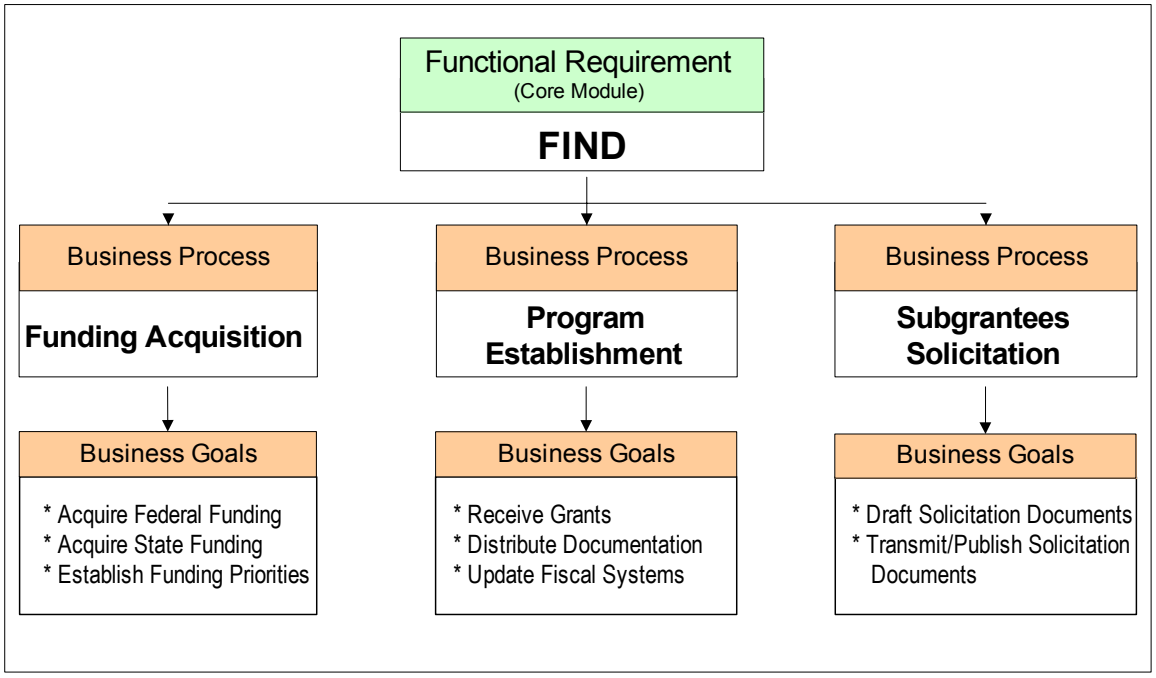
11. Audits

- Conduct Audits: *Accounting staff may conduct an audit on subgrantees. Audits are usually performed by site visits during which the auditor collects all the required information.*
- Complete Audit Reports: *Auditors are required to complete a formal audit report that contains general program information and specific audit findings and recommendations such as sanctions and future conditions. The audit reports are reviewed and approved by executive staff. Once approved, the audit reports are distributed to the subgrantees and the account is closed-out and close-out letters are distributed to subgrantees.*
- Independent Audits: *In some situations (depending on funding stream and grant amount) subgrantees can receive an independent audit of their organization. In these situations, the accounting staff receives copies of all the independent audit reports. The accounting staff validates the audits, reconciles the audit list, and closes the account with the subgrantees.*

During the assessment, it was observed that most SAAs adopted a phased approach when designing their electronic grants management systems due to funding and other resource limitations. Sub-systems, or *core modules*, are usually designed and implemented in separate phases. Each *core module* groups similar business events and defines a specific functional requirement of the overall system design. A total of four *core modules* define a complete logical system:

- FIND
- APPLY
- MANAGE
- CLOSE

These *core modules* are designed to streamline, automate and integrate the eleven (11) business steps of the grant administration and management process identified above. The following diagrams illustrate the *core module* and the associated business steps.



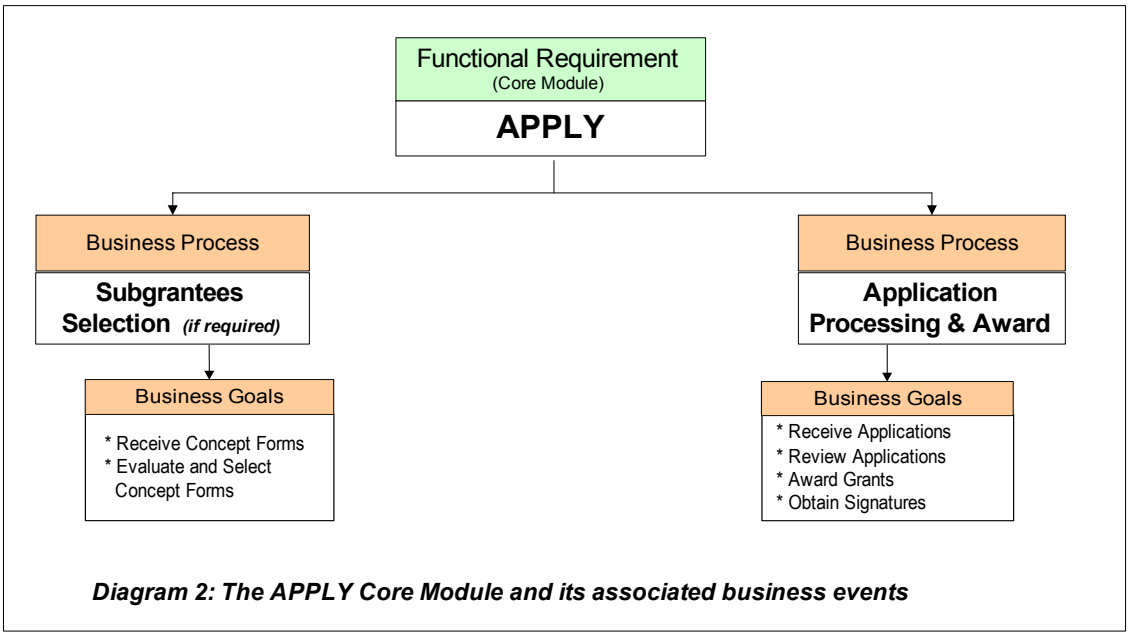


Diagram 2: The APPLY Core Module and its associated business events

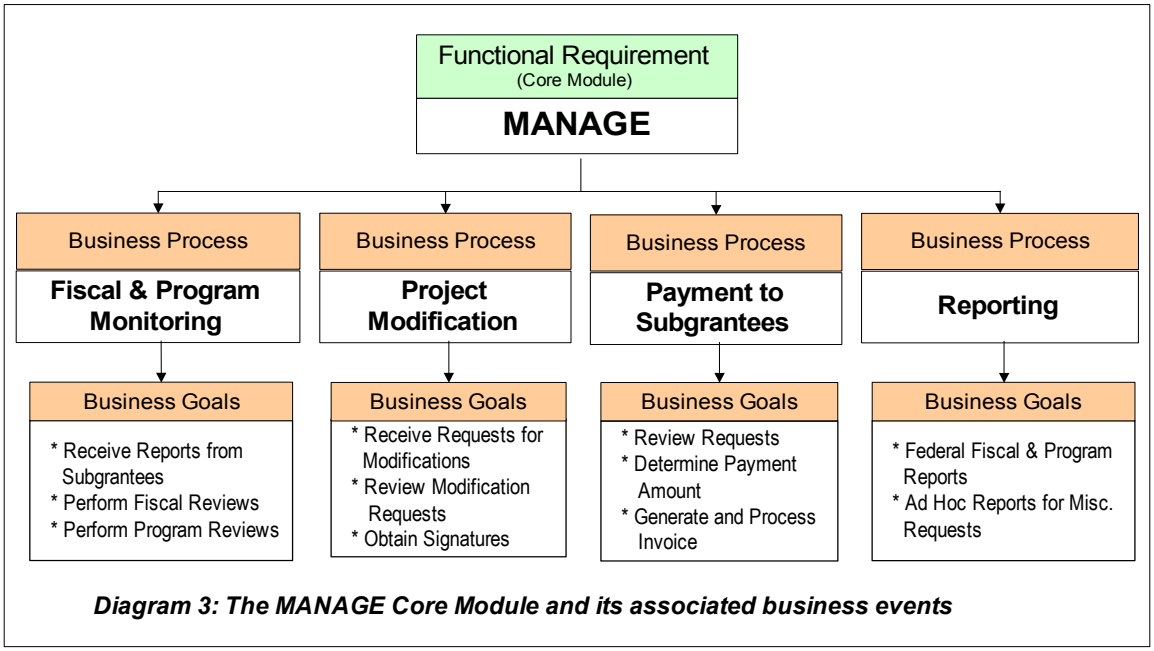


Diagram 3: The MANAGE Core Module and its associated business events

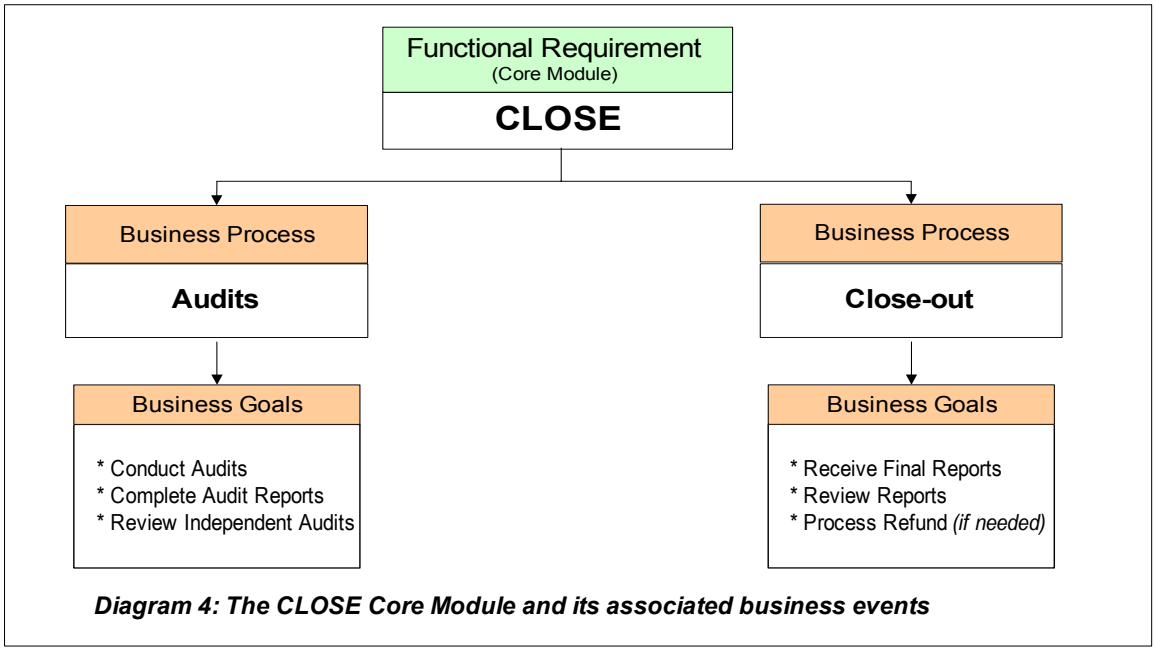


Diagram 4: The CLOSE Core Module and its associated business events

Please refer to Table 1 (found on pages 26 - 32) for detailed description of each module and the associated *e*GMS functional requirements.

In addition to identifying the key functional requirements, the NCJA also reviewed and assessed the essential general system requirements. Whereas functional requirements define what systems need to do, the general system requirements describe how the system will do it. In general, these requirements are attributes thatare found across the system (i.e., throughout all the core modules). The review of various systems allowed the NCJA to identify four critical requirements. These requirements

are: Security, Reliability, Usability, and Scalability. The details of each general systems requirement are listed below:

Security:

- Username and password system access
- Industry standard password policies (password length, valid duration, end-user changes)
- Role-based security
- Page-level security (users can only access pages corresponding to their security levels)
- Field-level security (controlling the showing/editing individual fields)
- 128-bit security
- User activity logging

Reliability:

- System backup and restore policies
- Responsive system recovery
- Power backup solution
- Process control (helps ensure predictable and stable operations by managing and controlling system resources that processors use)
- 99 percent uptime
- Patching and software update policies

Usability:

- System should be efficient (should be fast, the services relevant, and free of serious errors)
- System should be user-friendly (easy to use)
- Online help
- Online glossary of terms
- Self-populating fields
- Industry standard navigation controls

Scalability:

- Ability to handle an increase in simultaneous users
- Ability to handle an increase in simultaneous interactions
- Ability to store an increasing amount of information in the databases
- Ability to handle an increase in network traffic
- Ability to handle an increase in the amount of hardware

Table 1. Core Modules, Business Goals, and System Attributes

CORE Module	Business Goals		System Attributes (Requirements)
FIND	**Funding Acquisition**	• Acquire Federal Funding • Acquire State Funding • Establish Funding Priorities	• Contains document application templates for federally funded grants • Automatically pre-fills applications templates with historical data of federally funded grants • Captures and stores new fiscal and program data of federally funded grants (manual entry) • Stores fiscal and program data of state funded grants • Allows access and modification of fiscal and program data of state funded grant.
	Program Establishment	• Receive State/Federal Notification • Distribute Documentation to SAA staff • Update SAA Fiscal Systems	• Stores document templates used to create funding priority plans. • Allows access and reporting of fiscal and program data (Federal and State) to develop funding priority plans • Stores and sends new funding priority plans to the required SAA staff for review and approval • Forwards new fiscal data to the SAA accounting system
	Subgrantees Solicitation	• Draft Solicitation Documents • Transmit/Publish Solicitation Documents	• Contains document templates for funding guideline announcements and instructions • Allows access and reporting of fiscal and program data to develop funding guideline announcements and instructions • Sends funding guideline announcements and instructions to advisory committee and executive staff for review and approval. • Publishes funding guideline announcements and instructions on the SAA website (to view and/or download) • Sends notification messages to subgrantees to inform them that grant opportunities are available • Sends notification messages to subgrantees to inform them that technical assistance programs (workshops) are available

Table 1, cont'd

CORE Module	Business Goals		System Attributes (Requirements)
APPLY	**Subgrantees Selection** *(if required)*	• Receive Concept Forms • Evaluate and Select Concept Forms	• Allows subgrantees to login and view previously submitted concept forms • Allows subgrantees to search, view, and complete concept forms templates online • Uses previously stored data to pre-populate concept forms templates (limited fields) • Allows subgrantees to attach documents to concept forms • Allows subgrantees to save non-completed concept forms (without submitting them) for editing at a later time • Allows subgrantees to submit completed concept forms online • Automatically assigns a date and time to submitted concept forms • Automatically sends confirmation message to subgrantees with submission date and time • Performs automatic scoring of concept forms • Allows SAA staff to view, annotate, and route concept forms to required review personnel • Allows SAA staff to use data on concept forms to develop funding recommendation documents • Allows subgrantees to view the review status of their concept forms. • Automatically sends message to notify subgrantees of award or disaward • Sends notification messages to subgrantees to inform them that technical assistance programs (workshops) are available

Table 1, Cont'd

CORE Module	Business Goals		System Attributes (Requirements)
APPLY (cont'd)	**Application Processing & Award**	• Receive Applications • Review Applications & Award Grants • Obtain Signatures on Grant Documents	• Allows subgrantees to login and view a list of previously submitted applications (both awarded and disawarded applications) • Allows subgrantees to search, view, and access applications online • Uses previously stored data to pre-populate applications (limited fields) • Allows subgrantees to attach documents to applications • Allows subgrantees to save non-completed applications (without submitting them) for editing at a later time • Allows subgrantees to submit completed applications online (note: to submit an application online, subgrantees must agree to the terms and conditions of the online signature process) • Automatically assigns a date and time to submitted applications • Automatically assigns application numbers • Automatically sends confirmation message to subgrantees with submission date, time, and application number • Allows subgrantees to view application status while it is in review • Allows SAA staff to review the applications and use the data to create briefing packets • Allows SAA staff to route application and briefing packets to review personnel (advisory committee, executive staff, etc...) • Allows review personnel to attach addendums to applications (i.e, special conditions) • Automatically sends message to notify subgrantees of award or disaward • Allows subgrantees to access reviewed application with attached addendums • Uses previously stored data to automatically generate Award Letters • Automatically routes award letters to appropriate recipients for signature (executive staff, governor's office, etc…) • Routes complete (final) application and allows SAA staff to print copies for external and internal signatures *(if needed)*

Table 1, Cont'd

CORE Module	Business Goals		System Attributes (Requirements)
MANAGE	**Fiscal & Program Monitoring**	• Receive Reports from Subgrantees • Perform Fiscal Reviews • Perform Program Reviews	• Automatically notifies subgrantees and SAA staff of upcoming progress reports due dates • Allows subgrantees to login and view a list of previously submitted progress reports • Allows subgrantees to search, view, and access progress report templates (both fiscal and programmatic templates) • Uses previously stored data to pre-populate progress reports (limited fields) • Allows subgrantees to attach documents to progress reports • Allows subgrantees to save non-completed progress reports (without submitting them) for editing at a later time • Allows subgrantees to submit completed progress reports online (note: to submit a progress report online, subgrantees must agree to the terms and conditions of the online signature process) • Automatically assigns a date and time to submitted progress reports• Automatically sends confirmation message to subgrantees with submission date and time • Allows SAA staff to view, modify, and attach notes to the progress reports (Accounting and Programmatic reviews of the progress reports) • Allows SAA accounting staff to use online templates and the data from the progress reports to generate and store review reports • Allows SAA program staff to plan site visits by corresponding with the subgrantees *(if needed)* • Allows SAA program staff to use online templates to generate and store formal site visit reports *(if needed)*

Table 1, Cont'd

CORE Module	Business Goals		System Attributes (Requirements)
MANAGE Cont'd	**Project Modification**	• Receive Requests for Modifications • Review Modification Requests • Obtain Signatures	• Allows subgrantees to login and view a list of previously submitted requests for modifications (both approved and not approved) • Allows subgrantees to search, view, and access requests for modification templates (such as Time Extension) • Uses previously stored data to pre-populate templates (limited fields) • Allows subgrantees to attach documents to requests • Allows subgrantees to save non-completed requests (without submitting them) for editing at a later time • Allows subgrantees to submit completed modification requests online (note: to submit a progress report online, subgrantees must agree to the terms and conditions of the online signature process) • Automatically assigns a date and time to submitted requests • Automatically sends confirmation message to subgrantees with submission date and time • Allows subgrantees to view application status while it is in review • Allows SAA staff to review the requests and generate briefing packets • Allows SAA staff to route application and briefing packets to required review personnel (advisory committee, executive staff, etc...) • Allows review personnel to review and approve or reject the requests • Automatically sends message to notify subgrantees of request approval or rejection and generate approval letters • Routes complete (final) request and allows SAA staff to print copies for external and internal signatures *(if needed)*

Table 1, Cont'd

CORE Module	Business Goals		System Attributes (Requirements)
MANAGE Cont'd	**Payment to Subgrantees**	• Review Payment Requests and Determine Amount • Generate and Process Invoice	• Allows subgrantees to login and view a list of previously submitted requests for payments (both approved and not approved) • Allows subgrantees to view and use online payment request forms • Uses previously stored data to pre-populate forms (limited fields) • Allows subgrantees to attach documents to requests for payments • Allows subgrantees to save non-completed requests (without submitting them) for editing at a later time • Allows subgrantees to submit completed requests for payments online (note: to submit a progress report online, subgrantees must agree to the terms and conditions of the online signature process) • Automatically assigns a date and time to requests for payments • Automatically sends confirmation message to subgrantees with submission date and time • Allows SAA accounting staff to review and modify requests • Allows SAA accounting staff to approve requests online • Automatically notifies Subgrantees if requests are approved or rejected • Automatically routes approved requests for payments to the SAA accounting system • Generates and allows printing of invoice *(if needed)*
	Reporting	• Federal Fiscal & Program Reports • Ad Hoc Reports for Misc. Requests	• Allows SAA staff to use online templates to generate federal fiscal and program reports • Uses stored data to pre-populate reports (limited fields) • Automatically routes reports to recipient and/or generates printed reports • Allows SAA staff to generate ad-hoc reports from stores fiscal and program data.

Table 1, Cont'd

CORE Module	Business Goals		System Attributes (Requirements)
CLOSE	**Audits**	• Conduct Audits • Complete Audit Reports	• Allows SAA accounting staff to identify audit candidates • Allows correspondence between SAA accounting staff to Subgrantees to coordinate site visits for audits • Allows SAA accounting staff to use online templates to generate formal audit reports • Automatically routes audit reports to executive staff for approval • Allows SAA accounting staff to upload validated independent audit reports to a subcontractors account.
	Close-Out	• Receive Final Reports • Review Reports • Process Refund *(if needed)*	• Automatically notifies subgrantees and SAA staff of upcoming final reports due dates • Allows subgrantees to login and view a list of previously submitted reports • Allows subgrantees to view and use progress report templates (both fiscal and programmatic templates) • Uses previously stored data to pre-populate reports (limited fields) • Allows subgrantees to attach documents to reports • Allows subgrantees to save non-completed reports (without submitting them) for editing at a later time • Allows subgrantees to submit completed final reports online (note: to submit a progress report online, subgrantees must agree to the terms and conditions of the online signature process) • Automatically assigns a date and time to submitted progress reports • Automatically sends confirmation message to subgrantees with submission date and time • Allows SAA accounting and program staff to view, modify, and attach notes to the final reports • Allows SAA accounting staff to easily view if subgrantees have met their match requirements and to check that all funds were appropriately expended. • Allows correspondence between the SAA accounting staff and the Subgrantees to resolve expenditure issues • Allows SAA accounting staff to easily view if a refund is due. • Automatically routes refund notifications to the SAA accounting system • Automatically sends notification to SAA accounting staff if refund had not been received from the Subgrantees • Allows SAA staff to close subgrantees accounts and generates close-out Letters. • Routes close-out Letters to subgrantees and allows SAA staff to print copies for external and internal signatures (if needed)

E. Funding and Other Resource Support

In general, almost all SAAs reported having difficulties acquiring the appropriate funding and technical support for the planning, development and implementation of their systems. Most funding originated from "program dollars" set-asides or a portion of the administrative funding. Additional reviews concluded that governance structures, with little participation from the state chief information officers and other state agencies (either implementing or interested in implementing electronic grants management systems) resulted in reduced statewide support for funding. Those states that formally engaged key stakeholders throughout the development and implementation of their system were able to acquire the necessary funding and technical support to carry them through sustainment.

The challenges facing SAAs (and other state agencies) in implementing comprehensive, efficient electronic grant management systems relate directly to the way in which federal monies are directed and the statutory and policy standards that guide the use of these funds.

Virtually all federal funds are appropriated by the United States Congress and awarded through executive branch agencies for specific programs, and, in many cases, for very specific activities. For example, federal monies appropriated for the Justice Assistance Grant (JAG) Program may only be used to support criminal justice initiatives. Further, statutory purpose areas define how those monies may be used in support of those initiatives. The JAG Program is only one of nearly 10 programs administered through the Office of Justice Programs (OJP) and, subsequently, by state government. Within the federal government, hundreds of funding streams exist through which monies are awarded to the states for management and administration. There are no federal policies that allow or empower the states to co-mingle such funding. Consequently, the state must take the initiative to seek creative ways to apportion selected monies from these funding streams to support a unified electronic grants management system to handle awards made from these funding silos. Without state initiative to pursue a unified funding plan that integrates and properly allocates monies the funding streams, individual state agencies are left with few options but to create individual systems.

As an example of such an initiative, the State of Michigan is expending approximately $5 million in federal funds to support four, separate grants management systems. The state is now moving to unify its those four grants management systems, recognizing the need to streamline the state's infrastructure grants management process, save costs, and achieve an economy of effort.

Federal funds should not be considered the only source to financially support electronic grants management systems. States, themselves, can make available resources through development and operating budgets to support such systems. For example, the Commonwealth of Pennsylvania in 2001provided $500,000 to the Pennsylvania Commission on Crime and Delinquency (PCCD), as a leverage for federal monies from the BJA Byrne Formula Grant Program, to support preparation of a business plan and process for an electronic grants management system that would meet the needs of all state agencies engaged in grants management.

Recommendations

The NCJA convened a State Criminal Justice Electronic Grant Management Working Group[14] to make recommendations, based on best practices, in order to advance grants management systems. The following recommendations are core to those proposed by the Working Group and are offered for thoughtful consideration and implementation.

A. Planning.

- *The State Chief Information Office (SCIOs) - the state office responsible for overall information system policy – should have policies and procedures that guide SAAs and other state agencies in the design, implementation, and maintenance of electronic grant management systems.* These policies and procedures are critical to ensure that systems reflect the best practices in information management, achieve interoperability of data across state agencies, and support strategic planning for the state to maximize use of federal and state resources.

- *The SCIOs should move to a unified, statewide electronic grants information system and require state agencies to administer their grant programs through one system.* A unified system can dramatically reduce the cost associated with administering multiple systems and facilitate the exchange of information among state agencies to support strategic planning. States like Michigan and Pennsylvania are moving to a statewide system format that will provide an enhanced Return on Investment over a five year period, decrease frustration among system users in having to apply under different protocols, and achieve an economy of effort.

- *The State Administrative Agencies (SAAs) should review and follow existing statutes and policies that guide the development of electronic grants management systems.* Following existing state policies and procedures during the planning and design stage is imperative in securing the appropriate authorizations and financial support necessary for the planning, design, implementation and, ultimately, sustainment of the system.

[14] The following agencies are represented on the Working Group: New York Division of Criminal Justice, Michigan Department of Information Technology, Delaware Criminal Justice Council, Urban Institute, National Center for Rural Law Enforcement, Federal Grants.gov, Pennsylvania Commission on Crime and Delinquency, South Carolina Office of Justice Programs, and the IJIS Institute.

- *The SAAs need to achieve "executive sponsorship" through all levels of authority for approving and funding the system.* Undertaking an electronic grants management system requires a significant amount of investment in time and resources. As is with following state policies and procedures, it is important to gain support for your system through executive channels.

- *The SAA should establish a planning team that includes representation from the SCIO (or a like agency responsible for state level information management policy), program and financial managers, potential users of the system, and other key stakeholders that may be involved in the funding and technical support of the system.* Effective electronic grants management systems require the involvement of individuals from various organizations that will be a part of the "front" and "back" office operations. Having those individuals engaged during the planning and design stages may mitigate issues during system testing and implementation.

- *SAAs, through its planning team, should complete a Business Case[15], to include a Return on Investment, and Business Plan to support the planning and decision-making behind the electronic grants management system.* The Business Case should identify all development, design, implementation, and maintenance costs. Likewise, the Business Case should show all of the cost savings/benefits that should occur. The Business Plan constitutes a "blueprint" or workplan to guide the planning, design, implementation, and sustainment of a system.

- *As part of the planning process, SAAs, through its planning team, should also review and identify Performance Measurement strategies.* This strategy will define how project progress will be identified and will also list what activities will be measured to assess the project progress

B. Governance.

- *SCIOs should have policies and procedures that guide the SAA and other state agencies in the governance of electronic grant management systems.* State policies should exist to address the general governance structure and its roles and functions in the roll out and implementation of

[15] It should be noted that a business case assessment was not conducted as part of the surveys and site-visits performed during this eGMS assessment project. It is recommended that a detailed business case assessment be performed to determine the best approaches for the planning, development, and implementation of an eGMS system.

the system. At a minimum, full participation of key stakeholders involved in both the back-end and front-end operations should be encouraged. Although there is no magic number, the advisory group should be sufficiently broad to allow decision-makers to provide strategic, technical and resource oversight.

- *The Project Management Office, responsible for implementing electronic grants management system, should be administered outside the SCIO.* The office responsible for the daily operation of the system should not be a part of the SCIO so that the SCIO can preserve its policy oversight role. For example, Grants.gov, which administers the grants system for the federal government, is operated and staffed through the Department of Health and Human Services. The federal CIO office monitors the operations of the system, but commits its scarce resources only to setting policy and rulemaking over the entire government's electronic commerce.

- *The Project Management Officer should possess strong communication skills to keep all stakeholders involved and the business plan on task and on time.* Managing an electronic grants management system requires the highest skills in keeping everyone (staff, agency directors, and other key stakeholders) informed of challenges, issues, and accomplishments.

C. Designing

- *The SAA should review electronic grants management system designs being employed by other state agencies to determine if non-proprietary platforms can be imported in whole or in part.* Part of the research effort is to inventory systems that other states have selected, identify best practices in acquiring those systems, and provide context in which your system would operate. Electronic grants management systems, like the one in Pennsylvania, have already been develop, are modular and scalable, and can be obtained at little cost.

- *The electronic grant management design, itself, should be modular and scalable so that the system (and functional attributes) can be implemented in phases, if necessary; and selected modules can be updated without reengineering the entire software.* Because of budget constraints or just the desire to start with basic components, the design should be scalable to allow for phase in of functional attributes. Moreover, the design should be modular so that the elements (i.e., find, apply, manage, and close) can be introduced or modified without having an impact on the overall system.

- *The core modules and functional requirements of the electronic grants management system should include all those necessary to find, apply, manage, and close as described in this report.* The core modules and

requirements, as discussed on pages 30 and 31, should be considered essential to any system so that the state agency is capable of achieving accountability, tracking, analysis, and assessment of applications and grants at every stage.

- *Extensible Markup Language (XML) should be the format used by all eGMS*. XML allows the flexible development of user-defined document types. It provides a robust, non-proprietary, persistent, and verifiable file format for the storage and transmission of text and data both on and off the Web. Also, information becomes more accessible and reusable, because the more flexible make-up of XML can be used by any XML software instead of being restricted to specific vendors has become the case with HTML.

D. Funding and Other Resource Support

- *The SCIOs should make available technical assistance to SAAs in the planning, design and implementation, and maintenance of electronic grants management systems.* State agencies administering grant programs often lack the technical skills to develop business cases and business plans, modify software to update platforms, and provide training to users in the most efficient way to use the system.

- *The Bureau of Justice Assistance (BJA) should continue its policies that support the design, implementation, and maintenance of electronic grants management systems.* BJA allows the State Administrative Agencies (SAAs) to use both administrative and program monies awarded through the Justice Assistance Grant (JAG) Program. This policy and practice should continue as a way to encourage SAAs to design, implement, and sustain systems as a way to promote strategic planning and to more efficiently manage grants.

- *The Office of Justice Programs (OJP) should expand those policies and practices of BJA to other OJP agencies so that SAAs may allocate administrative and program monies from other justice funding sources to achieve more robust and comprehensive electronic grant management systems.* Many SAAs handle multiple funding streams from OJP, to include juvenile justice, and victim assistance. State agencies should be able to allocate specified funds from various OJP programs so that all grants may be include in the system.

- *The BJA, in partnership with the National Criminal Justice Association, should remain directly involved with the Public Law 106-107 process to coordinate federal-state initiatives that promote electronic grants management systems.*

- *States need to be creative in allocating resources to support the planning, design, implementation, and sustainment of their electronic grants management systems.* Many federal programs allow the use of funds awarded to states to support grant management systems. States need to assess how to properly allocate these funds to support a unified system that serves the various federal grant funding streams.

- *The National Grant Partnership (NGP) should create the capacity to facilitate discussion and networking among system practitioners on lessons learned in such topic areas as system platforms, software, building the business case and business plan, and acquisition processes.* As more states implement electronic grants management systems, lessons learned become important so that resources can be most efficiently and effectively used.

- *States should consider linking with the federal Grants.gov effort to market state programs more effectively.* Grants.gov is not just for federal agencies. The posting opportunities available through Grants.gov provide a common interface between the state and organizations and individuals seeking grant application information. With minimal modification of an existing website or development of an easily prepared announcement, states can expand their audience base.

National Criminal Justice Association

Electronic Grants Management Systems in State Criminal Justice Administering Agencies

CASE STUDIES

Electronic Grants Management Case Study

GEORGIA[16]

I. About the Georgia Criminal Justice Coordinating Council

A. Mission

The mission of Georgia Criminal Justice Coordinating Council (CJCC) is to serve as a statewide body to provide leadership, intensify and make more effective the components of the criminal justice system at all levels of government.

B. History

The Georgia Criminal Justice Coordinating Council strives to develop strategies and initiatives to better understand and administer programs relating to the criminal justice system in Georgia. The Statistical Analysis Center (SAC) within the Council facilitates a coordinated planning process. Due to the wide variety of programs it administers and the diversity of the criminal justice professionals who are Council members, the Council has a broad perspective of the needs of the criminal justice system. It also provides a forum for communication with the criminal justice practitioners of the state. The Council also utilizes SAC research capabilities to promote a better understanding of the criminal justice system and the law enforcement community to the public at large.

The entire Council monitors by the Statistical Analysis Center Committee as well as the SAC. The SAC Committee is made up of individuals who represent different aspects and agencies of the criminal justice system in Georgia. The Committee's main task is to establish priorities for specific SAC functions and to facilitate the coordination and cooperation of all criminal justice agencies in which data are collected. Its guidance is an invaluable element of the success of the SAC.

C. Functions

The CJCC provides the following services:

- Complies and analyzes criminal justice research and data

[16] The information for this case study was derived from a number of information sources. Primarily, NCJA staff gathered information from the Georgia Criminal Justice Coordinating Council staff Eden Freeman and Beverly Dixon via conference call on January 7, 2004. Additional comments were taken from the meeting notes from the June 5, 2003 Focus Group Meeting convened by NCJA. Ms. Freeman and Ms. Dixon participated in that meeting on behalf of Georgia.

- Updates criminal histories with final dispositions for all felony arrests, fully automates all criminal histories and fingerprint records, and increases frequency and quality of criminal history report to the Federal Bureau of Investigation
- Extends improvement of state criminal record systems
- Shares all records as required by the National Instant Criminal Background Check System (NICS) and the Child Protection Act
- Provides a directory of information to victims of crime
- Provides victim notification of the post conviction proceedings every six months
- Assists victims of crime with expenses they may occur as a result of victimization
- Disseminates rules governing the approval of victim assistance programs in Georgia

D. Funding Streams

- The Residential Substance Abuse for Treatment for State Prisoners (RSAT)
- Edward Byrne Memorial Crime Control System Improvement Grant (Byrne)
- Victims of Crime Act Grant (VOCA)
- Violence Against Women Act Grant (VAWA)
- Local Law Enforcement Block Grant (LLEBG)

E. Staffing

The CJCC is comprised of the following parts: Statistical Analysis Center, Criminal Justice Records Improvement, Victim Services Directory, Victim Notification, Crime Victim Compensation Program, Certification and Funding of Victim Assistance Programs.

II. About the Grants Management Information System

A. Overall Description of E-Grants Implementation in Georgia

The Grants Management Information System (GMIS) in Georgia captures mostly financial information from subgrantees, though in future upgrades to the system, officials hope to expand it to include programmatic information as well. The system performs a number of different functions, including:

- Generating correspondence and email;
- Compiling subgrantee expenditure reports;

- Maintaining comprehensive historical information on all subgrantee agencies previously awarded grants; and
- Tracking timeliness and completeness of report submission from subgrantees 

The current version of the program is coded using Visual FoxPro 6.0. In their future plans to move to an Internet based environment, Georgia CJCC officials expect to incorporate more current technologies, such as extensible markup language (XML) and web services.

B. Leadership

In the mid-1990s, the staff and management at the Georgia CJCC realized the need for a better approach to managing the many federal and state funding streams disbursed. Program managers had been using a standard spreadsheet program to manage grant information, but it was difficult to keep updated and combine with others to get a "big picture" view of programs that CJCC was funding and its effect on the administration of justice and prevention of crime. The CJCC leadership wanted access to information that would allow them this more comprehensive view, and also wanted to make the process of managing grants easier and more efficient for staff.

The CJCC sought advice from their program manager at the U.S. Department of Justice, Bureau of Justice Assistance (BJA), which suggested contact with the State Administering Agency (SAA) in their neighboring state of Louisiana. The SAA there had just recently implemented an automated grants management system. The Louisiana system was funded in part with federal grants, and as such, was in the public domain and available for Georgia to use. CJCC officials went to Louisiana and saw that the automated grants management system there could meet their needs. In 1997, CJCC created an in-house committee of staff to oversee the CJCC Grants Management Information System (GMIS) planning and implementation effort. This group worked closely with the vendor – Meridian – that developed the Louisiana system to plan for CJCC-specific modifications.

C. Coordination With Larger State IT Efforts

During this period, when the CJCC first began planning for the GMIS initiative, it was the first of many state agencies in Georgia to embrace technology as the means by which to more effectively manage operations. The CJCC was viewed as a leader in this area and spoke with other grant making agencies in the state, such as the Department of Highway Safety, about using the GMIS program for their grantees.

Overall, information technology priorities in Georgia have been in flux to date, due to the recent creation of a centralized technology office and a subsequent gubernatorial change. In 1999, the state Chief Information Officer (CIO) position was created, and is housed in the Georgia Technology Authority (GTA) office. One of the central roles for the GTA, upon its inception, was to establish standards for information technology applications in the state. While the CIO liked the GMIS product, he had concerns about the programming language (Fox Pro) in which it was written, since that language did not comport with his vision for technology standards in the state. The CIO and CJCC worked closely to try to resolve this issue.

A change in administration in 2002 shifted priorities within the GTA office. The original CIO was replaced and the standards effort he was pursuing is no longer the agency's top priority. The new CIO has initiated discussions among grant-making agencies in Georgia about creating a centralized web site for all Georgia agencies that receive and disburse federal funds, for local applicants to better understand the funding that is available. The GTA convened a meeting of all the grant-making agencies to discuss automated grants management and the functionality necessary for a more uniform system. A private sector provider came and demonstrated a product, but CJCC managers felt that it had far less functionality than the current GMIS. As such, the comprehensive statewide automated grants management initiative is on hold at this time.

D. Governance/Planning

The planning committee that the CJCC created in 1997 to oversee the planning for GMIS is still intact and operational today. Specifically, the committee is comprised of supervisors from both the program and financial divisions of CJCC, information technology (IT) staff, and the contractor from Meridian, which is assisting with the Georgia-specific modifications. This group acts as a governance body, making decisions about the operation and direction of the GMIS system. CJCC officials report that they are very satisfied with this small, internal approach to managing GMIS. Since the CJCC system is running effectively, CJCC is able to keep the planning and governance issues within the agency; the state CIO is pleased the program is up and operational.

E. User and Other Implementation Issues

Currently, the GMIS application is not available to local users, but rather, managed as an internal program for CJCC staff and managers. For example, for budgeting-related transactions, CJCC subgrantees submit information about budgets and expenses using a spreadsheet program, which they transmit via email or a floppy diskette to the CJCC financial manager. The CJCC staff then

uploads that file to the GMIS system, which in turn processes the expense and reimburses the jurisdiction directly.

The programmatic side is managed in a similar fashion. Subgrantees write their application using a word processor and send a hard copy to the CJCC program manager. The program manager then re-keys the application into the GMIS, which generates a letter back to the subgrantee. The programmatic information is particularly helpful to the CJCC, when it meets to make decisions about funding, as many reports can be pulled from GMIS that assist CJCC members about making determinations about which programs to support.

CJCC managers are working to move the GMIS to an Internet-based application, so that the re-keying that staff must do currently will be eliminated. CJCC is hoping to create a system in which applicants enter information – either programmatic or budgetary – directly into the application. As part of the larger agency e-business initiative, they are planning a two-phased effort to that end. Phase I will focus entirely on victims' related programs and funding, to allow online conference registration and victims compensation information. Phase II will include online application for all CJCC funding streams as well as for reimbursement to victims out of the state-run victims compensation program.

While CJCC subgrantees currently do not enter information directly into the GMIS, agency staff will have conducted extensive training on the process by which they would like to receive information from subgrantees for inclusion into GMIS. For example, they frequently hold events for grantees, by specific funding stream, to train them on the spreadsheet format on which they must submit their statistical reports. They also provide training on an as-needed basis, when requested by an agency.

While CJCC officials have limited information about the performance of the GMIS system, they are confident that it is making a difference to the subgrantees. They have recently completed an exercise in which they tracked how long a request for reimbursement took to be processed by CJCC. Prior to GMIS implementation, reimbursements could take up to six months. Now, however, CJCC staff is able to use the reporting function within GMIS to track how long reimbursement takes. They have found that GMIS takes between 14 days to one month for reimbursement, which is in line with CJCC internal operational goals.

In their planning to implement the e-business initiative and more web-based applications, CJCC officials have had concerns about the readiness of their subgrantees to convert to an internet-based system, due largely to the lack of technology and internet access at the local level, especially among rural communities. In their other grant programs, CJCC has laid the groundwork for this transition; by encouraging subgrantees to use grant funds for the purchase of computer hardware and software.

To ease the user community into an internet-based system and ensure they have the opportunity to provide feedback, CJCC plans to conduct pilots for the Phase I and II implementation, and will also conduct a survey of users after each phase is complete.

F. Funding

Georgia officials are very pleased with their use of the Louisiana automated grants management system and their ability to adapt it to their needs. They feel that the cost associated with this has been minimal and that they have well leveraged the original investment in the technology. They strongly advise other states interested in automated grants management to look to their counterparts in other state agencies to determine whether there is an application being implemented that meets their basic needs. Modifications to an existing system are much more cost effective, they note, than the costs associated with planning and developing a system from scratch.

To date, the modifications to GMIS have been funded via a services contract; the state of Georgia did not conduct a formal procurement competition for these modifications. The contract is structured so that the CJCC can purchase blocks of service time from Meridian in the form of a maintenance contract, which is spread over a 12-month period. If the CJCC is planning a more significant revision or modification to the system, that time allocation in the baseline maintenance contract is easily adjusted. Meridian also lets the CJCC rollover these blocks of time into a new time period if they go unused. This contracting method has precluded CJCC from going out to procurement, which saved a lot of time and money. The structure also allows Meridian to more easily respond to the needs of the CJCC managers and staff.

Currently, funds to support GMIS are entirely internal CJCC operating expenses. However, once the agency begins to administer a state-funding stream, it plans to tap the administrative set aside to support the Phase I and II initiatives to web-enable the GMIS.

G. Technology Support

The relationship between Meridian and CJCC has been a strong one, and its development was largely based on the experience that Meridian has had in Louisiana. The CJCC used the same development methodology, business planning exercise, and functional requirements identification process that the Louisiana SAA had undertaken, using the Louisiana information as the baseline. This approach allowed both CJCC officials and the Meridian contract to quickly identify the changes to the system that Georgia needed.

In addition to the Meridian involvement in the GMIS effort, CJCC IT staff plays an integral role in planning for and maintaining the system. Currently, the CJCC has an in-house GMIS administrator who provides support on the system and makes technical hardware upgrades when necessary. GMIS design is to be easily operated and maintained, to minimize the need to provide help desk support. For example, system super users or administrators have the ability to set up a new funding stream themselves and do not need to call either the GMIS administrator or Meridian contractor to make that modification to the system.

H. Vision for Future

The CJCC vision for automated grants management is addressed at the core of their e-business initiative. They would like to move to a system that is entirely Internet based for the grants application, management, and closeout processes, for both the financial and programmatic aspects of the grant. They would like to use the website to create a collaborative environment by which users could also post applications and view the applications of other jurisdictions.

Achieving this vision will take a significant investment of resources and time, and the progression of indoctrinating technology into the day-to-day operations of the agency. But CJCC officials are confident that this approach will help promote better information sharing among subgrantees, as well as ensure more accurate and timely submissions of information to the state.

Electronic Grants Management Case Study

MONTANA[17]

I. About the Montana Board of Crime Control

A. Mission

The mission of the Montana Board of Crime Control (MBCC) is to promote public safety, crime prevention, and victim assistance, by strengthening the coordination and performance of both criminal Justice and Juvenile Justice Systems in partnership with citizens, government, and communities.

B. History

The MBCC and staff have a proud tradition to advancing the rendering of justice. The Governor established the Board in 1968 in response to the 1968 Safe Streets Act; it is one of the very few commissions in the nation that continued through the demise of the Law Enforcement Assistance Administration (LEAA).

C. Functions

The MBCC has been responsible for significant improvements to Montana's justice system. The list is long, but some highlights include establishing the Supreme Court Administrator's Office, initiating the DARE program in Montana, supporting the legislature with the Youth Justice Council in the creation of the Juvenile Justice and Mental Health Study Commission, establishing Peace Officer Standards and Training, implementing automated fingerprint identification for Montana, and promoting the development of shelter care services for youth and the development of regional detention services for youth with the Youth Justice Council.

Not only does the MBCC strive to improve the justice system, the Board has always been a forum for the discussion of ideas and innovation in the justice system. It has always found ways when none looked possible, and have been willing to take risk when others faded away.

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[17] The information for this case study was derived from a number of information sources. Primarily, NCJA staff gathered information from the Montana Board of Crime Control (MBCC) staff Chris Christensen and Rick Kirn. Additional comments were taken from a conference call on January 20, 2004 and from meeting notes taken during the June 5, 2003 Focus Group Meeting convened by NCJA. Other information was gathered from documentation provided by MBCC.

The MBCC functions are to:

- Promote public safety by assessing research-based methods, planning, and implementing state and local projects with a high probability of successful outcomes in the areas of narcotics enforcement, substance abuse prevention, personal violence, and skills development for children and families.
- Promote a balanced approach and restorative justice system that equally targets the victim, the community and the offender, increasing public safety, accountability and competency skills.
- Strengthen the performance and professionalism of the justice system by providing for the continuing certification and determination of standards for law enforcement, detention/correction, communication, probation and parole officers, motor carrier service officers, and county coroners.
- Strengthen the performance of the justice system by providing professional accounting for all funds administered by the Crime Control Division in accordance with generally accepted accounting principles and in compliance with state and federal laws and regulations.
- Strengthen the justice system by collecting, analyzing, and reporting data and information related to criminal justice for law enforcement, policy makers, and the public. To strengthen the justice system by establishing and maintaining a Statistical Analysis Center (SAC) for the purpose of providing a mechanism for responding to criminal justice agency issues.

D. Staffing

The MBCC is comprised of the following parts: The Grants Planning Bureau, Juvenile Justice Planning, Peace Officer Standards and Training, Fiscal Management, and Technical Services. Nineteen employees staff the MBCC.

E. Funding Streams and Active Grants

- Byrne (35)
- Local Law Enforcement Block Grant (15)
- Juvenile Accountability Incentive Block Grant Program (26)
- Drug Free Schools (31)
- Victims of Crime Act (41)
- Violence Against Women Act (23)
- National Criminal History Improvement Plan (10)
- Safe and drug Free Schools (28)
- Residential Substance Abuse Treatment (1)
- Juvenile Justice Challenge (2)

- Juvenile Justice Title II (26)
- Title V Delinquency Prevention (1)
- Enforce Underage Drinking Laws (EUDL) 10
- Criminal Justice Statistics Development (SAC) Grant (1)
- Underage Drinking Laws (13)
- P. Coverdell National Forensic Sciences (1)

II. About the Grants Management Information System

A. Overall Description of E-Grants in Montana

The current automated grants management system used by the MBCC stems from an older GMIS used to manage the fiscal activities of grants. Within the last several years, MBCC has been working on adding an electronic application module as well a quarterly reporting function to the GMIS. The existing automated grants system (GMIS) currently used by MBCC contains a web based application module and a fiscal reporting module. MBCC recently started work on developing and implementing a robust quarterly financial reporting module and will start working on a program narrative module in the near future.

B. Leadership

The development of an electronic grants management system was driven by the need to streamline the grants management process and merge programmatic and financial information from sub-grantees. MBCC had developed an excellent financial management system to gather, store, and track financial information from sub-grantees and federal block grants. Additionally the system will produce the necessary award documents, grant adjustment forms and numerous reports. MBCC staff under the leadership of its director wanted to be able to use Internet technologies to integrate the programmatic information and allow sub-grantees the opportunity to apply for funds and complete various reports online. In addition, the MBCC Director was looking to make the grants management process easier for MBCC staff and reduce the amount of paper and paper-based processes coming in and out of the agency.

To implement this vision, the MBCC Director convened an internal group of staff to participate in the planning and development of the automated grants management system. This group included fiscal managers, information technology (IT) staff, program managers, and a computer programmer, who was on contract to the MBCC.

C. Coordination with Larger Technology Efforts in the Agency and State

Two legislative sessions ago, a new state Chief Information Officer (CIO) position was developed and comprehensive IT priorities were established for larger state agencies, but not applied to the smaller agencies, such as MBCC. Consequently, these smaller agencies continued to develop small, stand-alone databases and applications on different platforms.

While automated grants management is not a statewide priority, MBCC is currently working with the State CIO's office in order to obtain recommendations and support in integrating some of these disparate databases and systems. MBCC staff is unaware of any other grant-making agencies in Montana that are using automated grants application systems.

D. Governance and Planning

While the internal MBCC group charged with planning for GMIS has been successful in getting started, Mr. Christensen is eager to involve the State CIO's office in the planning for automated grants management. In addition, the State Department of Administration provides staff support to MBCC regarding hardware-related issues and acts as a help desk of sorts when MBCC staff have hardware-related problems. The Department of Administration is not formally involved with GMIS planning or implementation, however.

The MBCC recognizes the importance of this planning group in guiding and steering the GMIS development. Bringing all of these individuals together was healthy, he notes, from an organizational perspective and helped build support for the system.

E. User and Other Implementation Issues

Local level users were not engaged for the initial development of the GMIS System, though MBCC consistently receives feedback about the grant-making process from its users at various training classes and meetings. Much of this feedback has been useful when planning for the functionality of the GMIS system.

MBCC set up an ad-hoc test pilot group for the testing of the system. Currently, system testing is being undertaken with users who are applying to MBCC for continuation funding and multi-jurisdictional task forces funded under the Edward Byrne Memorial State and Local Law Enforcement Assistance Act (Byrne) formula grant program. The pilot group consists of approximately 10 subgrantees. This group, although informal, has provided valuable feedback for

the initiative. It is expected that an increase in grant activity this year will lead to the expansion of the user group and an increase in feedback.

In addition, MBCC officials do not expect that access to technology and Internet connectivity will be a problem with their pool of users, including among tribal communities. Most of the users in Montana are well connected, from a technology perspective.

For the pilot users, MBCC did not provide much training but rather were interested in seeing whether the user interface was intuitive enough for them to pick up as they used the system. So far the feedback from users has been positive. MBCC also provides two grant-writing classes per year. All feedback from users will be assessed by MBCC and eventually resolved, when necessary, by the contractor.

MBCC is planning on engaging the Sub-grant Review Committee as a formal test group to get feedback and recommendations. This group, which is typically charged with reading and reviewing boxes full of paper applications, will be screening the applications online, using the GMIS.

F. Funding

The MBCC has built GMIS incrementally with existing resources rather than relying on a large influx of funding in the form of a special grant. The initial GMIS work was originally funded with existing agency funds.

For State Administrative Agencies (SAA's) just starting with automated grants management, Mr. Christensen advises them to invest in basic project management training for the individuals who will be charged with leading the system development and implementation. It is crucial to have staff understand the scope of the work, the necessary business functions, and the basics steps of the software development lifecycle.

G. Technology Support

MBCC has relied mainly on contracted services as their primary source for IT assistance. The agency plans to hire a full time employee in June to provide the majority of this service. It should also be noted that MBCC gets limited help desk support from the Information Systems Division of the Department of Administration for hardware support, review of plans and contracting for services.

H. Vision for Future

The long-term goal of the MBCC is to have an automated grants management system that processes and manages all programmatic and financial

information, from application to closeout. Eventually the system will allow users to query reports in order to better manage their work and progress over their life cycle as a grantee.

From a state agency perspective, MBCC is looking to the system to help staff better manage information related to grants, rather than just processing data from sub-grantees. This shift to using information as a management tool will help the MBCC make more informed funding and policy decisions with the federal and state funding streams it administers.

Electronic Grants Management Case Study

NEW YORK[18]

I. ABOUT THE NEW YORK STATE DIVISION OF CRIMINAL JUSTICE

A. Mission

The mission of New York State Division of Criminal Justice Services (NYDCJS) is to improve the effectiveness of New York's justice system. NYDCJS is also charged with collecting and analyzing statewide crime data; administering federal and state funds earmarked for criminal justice purposes; conducting research on critical criminal justice issues and providing training and legal guidance to the state's law enforcement and prosecution communities.

B. History

The NYDCJS created a network database in 1989. NYDCJS has a long history of using computer-based applications to help manage the grants administration process. In the late 1990s, NYDCJS received funding through a competitive grant from the U.S. Department of Justice, Bureau of Justice Assistance (BJA) to develop their first Grants Management Systems (GMS), to allow users to make application, conduct reporting, calculate budgets, and conduct grant close-out activities.

C. Functions

The New York State Division of Criminal Justice Services mission is to:

- Reduce crime and improve the effectiveness of criminal justice services through the collection, maintenance, and distribution of timely, accurate, and complete identification, intelligence and criminal history information.
- Reduce crime and increase the effectiveness and efficiency of law enforcement, public safety and security organizations located within New York State, and to increase public confidence by promoting professionalism through standardized training and support

[18] The information for this case study was derived from a number of information sources. Primarily, NCJA staff gathered information from NYDCJS staff, Paige Guido, Shelley Wahrlich, and Tom Dovolos, via conference call on December 23, 2003. Additional comments were taken from the meeting notes from the June 5, 2003 Focus Group Meeting convened by NCJA. Ms. Guido and Ms. Wahrlich participated in that meeting on behalf of New York State.

- Identify and direct agency resources to evidence-based criminal justice and law enforcement strategies that will lead to a measurable reduction in crime and improvement in the delivery of criminal justice services throughout New York State
- Provide legal counsel to the Division and offer a wide range of services to law enforcement agencies and prosecutor offices across the state
- Provide staff support to the New York State (NYS) Commission on Forensic Science and its DNA Subcommittee with regard to the accreditation of public forensic laboratories operating in the state, administer the state DNA database in cooperation with the New York State Police Forensic Investigation Center, facilitate specialized technical training and other activities that enhance the efficiency, effectiveness and reliability of forensic testing services in NYS and promote coordination and information sharing among the laboratories

D. Staffing

NYDCJS is comprised of five program bureaus: the Office of Justice Information Services, Office of Public Safety, Office of Strategic Planning, Office of Legal Services and Forensic Services, and Office of Administration.

The Bureau of Justice Funding (BJF), organized under the Office of Strategic Planning, is comprised of approximately 60 grants management professionals and support staff.

E. Funding Streams

- Edward Byrne Memorial Formula Grant (455)
- Local Law Enforcement Block Grants (161)
- Juvenile Justice Grants (524)
- Violence Against Women Act (40)
- STOP Formula Grants (297)
- Residential Substance Abuse Treatment (2)
- DNA Grants (40)
- Weapons of Mass Destruction Grant (231)
- Motor Vehicle Theft and Insurance Fraud Prevention Grants (129)
- State Aid to Localities (308)
- Legislative Member Item Grants (630)
- State and Local Emergency Preparedness Grant (2)
- Crime Identification Technology Act Grant (3)

II. About the Grants Management Information System

A. Overall Description of e-Grants Implementation in New York

The NYDCJS has a long history of using computer-based applications to help manage the grants administration process. In 1989, it created a networked database using Paradox-5. In the late 1990s, however, NYDCJS received funding through a competitive grant from the U.S. Department of Justice, Bureau of Justice Assistance (BJA) to develop its first GMS, using client-side software against the Paradox database, that allowed users to make application, conduct reporting, calculate budgets, and conduct grant close-out activities.

Currently, NYDCJS is in the process of moving GMS to an Oracle database and to the Internet, as well as adding additional functionality, such as online application review, notification of grant and reporting deadlines, and the ability to generate the contract itself through Crystal Reports. The new system will also handle progress reporting, inventory, accept attachments, field monitoring, and accept some financial and audit information. The most significant modification is a new interface with the NYDCJS financial system, which will improve the organization's audit and closeout abilities. NYDCJS expects to rollout the new system on June 1.

B. Leadership

For the NYDCJS, automated grants management was borne out of a number of influences. The first was the commitment to technology that the organization had made under its former director, Gary Shreivogl. Shreivogl understood the power of information technology as it relates to criminal history information and how the availability of that data improved the administration of justice.

This influence, coupled with the fact that NYDCJS was losing staff at the time and was tracking approximately 4,000 grants per year, led the NYDCJS leadership to explore automated grants management. The extensive number of grants made by the organization, which increased significantly in the 1990s, made a paper-based system of application and reporting no longer feasible. On a more strategic level, the NYDCJS staff found that they were unable to extract consistent information from the grantees' reports and aggregate it in any meaningful way.

This leadership led the way for NYDCJS application to BJA in 1999 for competitive funding to support the creation of automated grants management systems. Specifically, BJA issued a solicitation that would provide three states

with services from an information technology developer – Network Systems Integration (NSI) – to create automated grants management systems. New York, along with Washington and Minnesota, were the states selected for these services. Work in this area in New York State was underway shortly thereafter, in 2000.

C. Coordination With Larger State IT Efforts

Automated grants management had been a priority at the state level in New York in late 2000, when the State Office for Technology partnered with the Office of the State Comptroller to mandate requirements for automated grants management systems. These two state agencies tried to encourage grant-administering agencies to leverage existing administrative funds to support the development of automated grants management systems. The lack of state-level investment in this effort, coupled with the tragic events of September 11, 2001 and the corresponding shift in state budget priorities, diminished the priority of encouraging automated grants management in New York.

Today, a few grant-making agencies in New York State are considering automated grants management systems; however it is no longer a statewide priority and most other systems are driven by the collection of fiscal information. The NYDCJS system is program and policy-driven within an overall grants management initiative, allowing applicants and staff to conduct the full range of activities – from application to close-out – online.

Since the NYDCJS system was developed in part with federal funds, the customized portions of it are in the public domain and, therefore, would be free to other agencies that are considering adopting automated grants management systems. To that end, the NYDCJS has demonstrated its GMS to other interested state agencies, but has found that it is difficult to try to adapt the business flow and process of one agency to that of another, even if both are in the business of making grants. For example, they have engaged in discussions with other sister agencies and have learned that each agency's method of getting information from the field is vastly different. It would be difficult, they noted, for one system to accommodate all of these methods of information gathering, without significant modification.

In addition, the NYDCJS focus on collecting program information to understand the policy implications of what the agency is supporting is unique among other state agencies. NYDCJS is interested in the results of the programs and refining policy. Many of the other agencies are looking for assistance in the area of financial reporting only.

The BJF's new GMS is designed to enable comprehensive reporting on the tasks, objectives and performance measures ('Workplan') outlined in each individual sub-grant contract.

When a grantee is required to create a Quarterly Program Progress Report under the program, the GMS screens will return the selected Objectives, Tasks and Performance Measures hard-coded into the screen. The grantee then simply enters narrative descriptions of the progress made with each Objective and Task.

For reporting to the Office of Domestic Preparedness, BJF can then select the various objectives or tasks by their letter or number code, and create reports describing the uses to which the State Homeland Security Program and Law Enforcement Terrorism Prevention Program funds have been put, and the progress of the activities involved, as well as additional information as needed on regional distribution, funding levels to specified jurisdictions, etc.

Additionally, NYDCJS is working with the States Weapons of Mass Destruction Task Force to develop an inventory tracking system that will interface with GMS for reporting purposes.

D. Governance/Planning

Currently, the NYDCJS manages the planning and implementation of its automated grants management effort internally, with its own staff and managers. The State Office of Technology does require a program review for the use of grant funds for specific initiatives. At the time that NYDCJS applied for funding review upon receipt of its competitive grant from BJA, the Office of E-Grants Management was still in place and very supportive of the initiative. However, once the funding was approved, NYDCJS has had little involvement from the Office of Technology.

While the NYDCJS has consciously placed a priority on using the system to gather primarily programmatic information from subgrantees, officials there are also cognizant of improvements they would like to see and other “players” they would like to involve in their automated grants management effort. NYDCJS reports that the fiscal capacity of GMS should be bolstered a bit, beyond the basic information that is currently collected. Specifically, NYDCJS would like to develop payment and vouchering capacity into GMS.

When developing the fields for the financial information, NYDCJS consulted with their Fiscal Office. This financial information collected in GMS is purely informational; there are no funds transferred between the Comptroller’s Office and NYDCJS. However, in the new system, there will be an interface between their Oracle database and the new GMS to automatically pass more robust financial information.

E. User and Other Implementation Issues

When NYDJCS received funding in 1999 to develop its automated grants management system, the Paradox-based system was adopted – based on input from NYDCJS staff and managers – and distributed to the user community via CD and with a user manual. NYDCJS first tested GMS with the 2001 Motor Vehicle Theft Prevention grant funding. Of the 33 applicants, they found that only two grantees could not use the new system.

Once introduced to the entire subgrantee community, the use rate was high– approximately 75 percent. However, not long after the full rollout, Windows 2000 became available and many users who upgraded to that operating system were unable to interface with GMS, which was based in Windows 98. Now usability is down to approximately 50 percent, as the field moved to these newer systems that are not compatible with the state GMS. Despite the drop in use, the NSI system was well received by the field; it had a good, clean user interface that was easy to use.

NYDCJS had good luck with the method of introducing the system to the user community. The CD distribution had explicit instructions about the system, which satisfied most users' needs. Those who had questions contacted NYDCJS staff members, who were prepared to provide technical assistance over the phone. In some cases, staff made site visits to conduct training on the system, and instruction in the use of the system was also incorporated as part of several regional grantee training sessions held throughout the state. Overall, NYDCJS officials note, the system has been tremendously well received.

A couple of factors have contributed to that success. NYDCJS involved both state-level and local criminal justice planners in the rollout process. These planners were able to assist other justice practitioners and nonprofit subgrantees in their use of the system. In addition, NYDCJS reports that staff understanding of the system helps with support to the field. Many have tried to use the system remotely to emulate common problems faced by subgrantees using the system remotely. As such, they have been able to anticipate and respond to common problems that users face.

In planning for the upgrades to the system, NYDCJS created a survey to the field to formally capture feedback from local users, requesting information on specific problems and new functionality. The new web-based system, which is scheduled to be online for all NYDCJS funding streams June 1, 2004, will put an end to these operating system incompatibility issues. Current users, and those that have not been able to use GMS because of operating system incompatibility, are looking forward to accessing the system via the Internet.

In terms of specific plans to rollout the web-based system to the user community, NYDCJS has not yet developed a specific implementation plan. Rather, officials there plan to pattern their introduction of the software after their first successful rollout: develop user manual, have staff ready and trained to answer questions, and go to field and train.

Benefits to NYDCJS

In addition to being well received by the user community, electronic grants management in New York has been a success for the state-planning agency as well. NYDCJS officials report that the portion of their agency that handles the Edward Byrne State and Local Law Enforcement Assistance Act formula grant program (Byrne formula) significantly reduced the time that program managers were taking in preparing reports for the Justice Department and subgrantee contracts, due to the formatting templates and self-calculating budget functions built into the system.

In addition, tracking and managing the grant-making process has become much more manageable for state agency staff. Since they are getting much more accurate and consistent information from applicants using the system, the back and forth that used to take place between the state and the subgrantee has diminished significantly. In addition, NYDCJS managers are able to focus on ways to better manage the grant making process.

Furthermore, NYDCJS is able to better understand how granting to the field affects the administration of justice and the prevention of crime in New York State. Since all of its grants use performance measurements, sub-grantees are forced to report against those performance measures; the GMS system will not accept their automated report submission until they address all key issues, including built-in performance metrics. The system is equipped to accept both qualitative and quantitative information. Collection of this information is of significant value in preparing the State Annual Report, a requirement of BJA to focus on outcomes of specific programs and projects.

This more complete understanding of the impact of the dollars that are being distributed really helped with policy decision-making around limited funds, according to NYDCJS staff. The system allows the ability to report on the resources that NYDCJS has spent in a specific area, by which programs, and so on. This greatly assists the agency in developing its state strategy and State Annual Report to BJA and to the state legislature, the latter of which administers the Byrne formula grant and other federal funding streams.

In the future, NYDCJS may expand its reporting functionality to allow its staff and grantees to query the system for information. They are considering developing an objective library, by which users could query information by program type, outcome objectives, and other performance measures, as well as

be provided links to the websites of specific programs. They also intend to use the expanded reporting technology in the new system to allow for the creation of both static and dynamic reports.

F. Funding

NYDCJS has cobbled together funds from a variety of sources to support its automated grants management effort. In 1999, NYDCJS obtained the initial grant funds to develop GMS by winning a competitive grant from BJA. The BJA grant supported system development services with a previously chosen contractor – NSI – and provided development support and time for the state administering agencies in New York, Washington, and Minnesota. State funding has also been invested in the GMS effort, mainly in the area of staff time since the system was rolled out.

In addition to these two sources of support, NYDCJS has received permission from BJA to use a portion of its Byrne formula administrative set aside for funding to support the system upgrades and the transition to a web-based application for GMS in New York.

When asked what advice they would give about funding to states just starting an automated grants management initiative, NYDCJS officials noted that their strongest piece of advice is to ensure the support of upper management for the initiative. Because former NYDCJS BJF Director Schreivogl understood how technology could assist his office in improving the grants management process, he and his staff were willing to think creatively about how to get it funded.

Another piece of advice is to look at other grants management systems to observe the necessary functionality and how it meets the organization's business needs. This is especially relevant in the area of automated grants management systems, since many have been developed with federal funds and as such are in the public domain.

While NYDCJS officials concede that there is no need to start "from scratch" with automated grants management, it is important that each agency fully understand their business needs to ensure that the resulting software is responsive to them and therefore useful to both the state agency and the user community.

- **Technology Support**

Because of the BJA-funded technology development support, NYDCJS worked closely with NSI to develop the initial GMS system for New York. After the initial development was completed, NYDCJS contracted with them for

additional services and is using them for the web-enabled version of the tool that will roll out on June 1, 2004.

In addition to a strong relationship with a private sector partner, NYDCJS has an internal information technology (IT) staff person, on detail from the agency's application development staff, to assist with the implementation of the system upgrades. This IT staff person, along with other NYDCJS staff, meets with the NSI developers regularly to work on the design for the new system. The IT staff person works closely with NSI and acts as the link between the programs and the technical design of the system.

- **Vision for Future**

The long-term goal of the NYDCJS is to be an entirely paperless operation, with the entire business of grants management done online by subgrantees. While it is unlikely that this ambitious goal will be achieved by the June 1 rollout date of the new web-based GMS system, the organization is making significant progress to that end.

One obstacle that NYDCJS is addressing is the ability of subgrantees to submit binding signatures electronically. Currently New York state law does not include a provision for electronic signature, and NYDCJS is actively working to address this.

Automated Grants Management Case Study

OHIO[19]

I. About the Office of Criminal Justice Services

A. Mission Statement

Through research, evaluation, grant administration and programmatic initiatives, OCJS serves agencies and communities committed to prevention, intervention and reduction of crime and delinquency throughout Ohio.

B. History

The Ohio Law Enforcement Planning Agency was created as the forerunner of today's Ohio Office of Criminal Justice Services and began operations under the Ohio Department of Economic and Community Development. Its dual purpose was to administer program funds to Ohio's criminal justice constituents and to coordinate Ohio's comprehensive criminal justice plan. During the 1970's, this agency underwent various name changes, but its responsibilities remained unchanged. The early 1980's brought discussions to enhance the scope of the agency.

In July of 1983, the Ohio Office of Criminal Justice Services (OCJS) was established within the Ohio Department of Development. The responsibilities of OCJS were expanded to include policy issues. Ten years later, the Ohio Office of Criminal Justice Services became a separate, independent agency and eventually became a cabinet level agency. Statutory authority for the agency resides in Ohio Revised Code &181.

The director is appointed by the Governor and advises the Governor's administration of criminal justice concerns and trends. OCJS customers include the Governor's Administration, legislature, law enforcement, and criminal justice agencies, and victim groups and citizens. OCJS is established as an unaligned arena for collaboration among law enforcement, corrections, courts, service providers and other related disciplines. Moreover, OCJS mirrors Ohio's Home

[19] The information for this case study was derived from a number of information sources. Primarily, NCJA staff gathered information from OCJS staff Brent Walls, Heather Mizundar, Grants Chief, Ravi Alapoura, IT staff, via conference call on January 9, 2004. Additional comments were taken from the meeting notes from the June 5, 2003 Focus Group Meeting convened by NCJA. Walls and Walter Brown participated in that meeting on behalf of the state of Ohio.

Rule philosophy by tailoring responses and services to constituencies and their specific needs. The agency houses its own team of researchers who design research studies for practicality and usefulness, providing policy makers and practitioners with best practices—what works now—for today's economic and community climate. OCJS pilots projects that shape criminal justice in Ohio and nationwide.

C. Functions

OCJS provides the following services:

- *Planning & Evaluation*: evaluates the effectiveness of criminal justice projects including law enforcement, corrections, courts, prevention, and victim services.

- *CJIS*: coordinates Ohio's Criminal Justice Information System (CJIS) Plan, and the development of automated systems to promote sharing of crime information and data.

- *OIBRS*: collects, stores and analyzes crime data in the Ohio Incident-Based Reporting System Repository (OIBRS) to help law enforcement anticipate and prevent crime through a fully automated, voluntary crime reporting system.

- *OJIN*: implements the Ohio Justice Information Network (OJIN), allowing criminal justice professionals instant access to the most current criminal justice information in the state via a single web-based system.

- *Family Violence Prevention Center*: implements baseline funding for domestic violence information and initiatives.

- *Resources*: designs publications, programs and training based on criminal justice trends and needs.

D. Staffing

OCJS is organized into four substantive areas: Grants Administration, Planning & Evaluation, the Family Violence Prevention Center, and Justice Technology. OJP is staffed through 45 positions.

E. Funding Streams

The following grant programs are administered by the Office of Justice Programs, which account for over $30 million annually and include up to 575 active awards at any given time.

- Edward Byrne State and Local Law Enforcement Assistance Formula Program (150)
- Violence Against Women Act Programs
- Local Law Enforcement Block Grant Program (50)
- Residential Substance Abuse Treatment for State Prisoners Program (20)
- Bulletproof Vest Partnership
- Criminal Justice Information Systems
- Family Violence Prevention and Services (60)
- National Criminal History Improvement Program

- Ohio Incident-Based Reporting System
- Ohio Justice Information Network
- Drug Court and Mental Health Court Evaluation
- Peace Officer Task Analysis
- Family Violence Prevention Center
- Ohio Drug Task Force Management
- Crime Prevention Publications
- Law Enforcement Continuing Education

II. About the Grants Management Information System

A. Overall Description of E-Grants Implementation in Ohio

The Ohio Office of Criminal Justice Services has long had automated systems to help the organization track and monitor the programmatic and fiscal activities of its grantees. But when the Year 2000 compliance (Y2K) issue arose in the late 1990s, updates to one of the two systems presented an opportunity to update and merge these systems into an automated Grants Management Information Systems (GMIS), which went live in October 1999. Since then, OJCS information technology (IT) staff have been developing a web-based interface for the GMIS system, which will eventually allow online application, reporting, tracking, and closeout. The development of the web-based interface is evolving, with the first online applications accepted in November 2003.

GMIS system tracks all criminal justice funding through application to close-out, which amounts to approximately $30 million in federal and state grants. Examples of the systems functionality include:

- accepting quarterly financial reports;
- tracking sub-grant monitor information, performance reports;
- recording correspondence between OCJS and the subgrantee;

- producing flags for OCJS grant monitors regarding agencies that are non-compliant with various deadlines; and
- providing printouts for various reports, adjustments, and award documents.

The GMIS system runs on SQL server and Oracle database, and uses the .NET framework, extensible markup language (XML) and associated standards.

B. Leadership

There were several factors that prompted the development of automated grants management in Ohio. According to OCJS officials, the primary motivation for developing the Ohio GMIS system was Y2K compliance. Prior to 2000, OCJS had two separate information technology (IT) systems that they used for grants management – one for fiscal information and the other for program information. The fiscal system was not Y2K compliant, and OCJS officials saw the compliance issue as an opportunity to merge the two systems, since at the time, the Ohio Department of Administrative Services (DAS) had budgeted funding to update state computer systems. The availability of funds made simple the decision to move forward with the integration of the fiscal and programmatic sides of the automated grant management.

OCJS officials also recognized that improving their grants management technology would create efficiencies for their staff and improve and streamline the overall grants management process. They also recognized that it would improve the agency's reporting abilities to external stakeholders, such as the Governor, legislature, and the federal government. Prior to implementing the automated grants management system, these stakeholders had periodically requested information from OCJS regarding the performance of and investment in various crime control and prevention programs that agency officials could not retrieve, because of the manner in which information was gathered and stored in the past.

This business need, coupled with the available funding through the state Y2K initiative, made the choice to integrate the state's grant tracking and monitoring systems effortless for OCJS officials.

C. Coordination with Larger Technology Efforts in the State

In Ohio, the State Chief Information Officer (CIO) has set comprehensive priorities that relate to automated grants management, but has not made the implementation of such systems an overarching priority for state grant-making agencies. For example, the CIO's office promotes technology and the idea of

state agencies conducting "*e*business" in order to make government more accessible to its citizens.

State officials are also considering the creation of a statewide financial and human resources information technology (IT) system. Conceivably, a system of this nature could intersect with the GMIS or another agency's grants management system. According to OCJS officials, early discussions about this state finance system included dialogue about an automated grants management component, as an element of the overall financial system. However, grant-making agencies in the state were concerned that the component would not provide enough functionality for them to manage grants from application to closeout, much less have the capacity to allow subgrantees to apply and report online. Limited state funds, according to OCJS officials, have sidelined the overall discussions about the financial system. The tight state budget and dismal future funding forecasts make it unlikely that the state will move to one standardized accounting system in the near future.

While automated grants management may not be an overall policy priority, the State CIO is supportive of the GMIS system. They frequently refer other grant making agencies in the state to OCJS when someone inquires about automated grants management. In addition, the CIO's office has provided support and direction to OCJS to help it ensure that the GMIS system remains compliant with overall state technical standards and policies.

While OCJS is among the first to pursue an automated grants management system, a few other agencies have been tracking the work OCJS is doing in this area. For example, after an internal reorganization in which funds administered by the U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention – the Juvenile Accountability Incentive Block Grant (JAIBG) – were transferred from OCJS to the Department of Youth Services (DYS). OCJS gave a copy of the GMIS system to DYS, since the OCJS grantees who had previously applied for JAIBG funds had only used the GMIS system. In the future, OCJS expects to share GMIS updates and modifications with DYS.

In addition, OCJS officials speculate the X agency, which administers the state's allocations from the U.S. Department of Homeland Security (DHS) may also be interested in leveraging GMIS, since GMIS allows OCJS to conduct ad hoc reporting and gather information quickly to identify who, what, where, and when they fund various projects and initiatives.

D. Governance/Planning

When OCJS began its initial GMIS development, they convened a small, internal team of OCJS managers from both the fiscal and programmatic divisions

of the agency. Their task was to conceptualize how they wanted the system to perform and to define the corresponding functionality that needs to be built into the system. OCJS officials report advantages and disadvantages with this approach to governance. On one hand, the small, nimble nature of the team made it easier for OCJS officials to stay on track during project planning and development and adjust quickly to change.

Conversely, the group had a difficult time getting started initially. They did not have subgrantee participation in the initial planning stages, and in retrospect, they believe local participation may have helped them get started more quickly. To address that issue, OCJS quickly engaged the user community once the system was developed. Subgrantees helped test the system and provide feedback, which was later incorporated into GMIS.

Today, the management of GMIS has been adopted as a normal part of OCJS operations, and as such, is overseen by agency managers. Management, as well as the needs and suggestions of the user community, is what guides future development of the system.

E. Implementation Issues

OCJS decided early on that use of the GMIS system would not be mandatory for its subgrantees, as it wanted to gradually introduce the concept to its users and let the idea of using automated grants management and the associated benefits of such technology "sell itself" to the user community. OCJS rolled out the online application module of GMIS with the Residential Substance Abuse and Treatment (RSAT) and Family Violence Prevention (FVP) grants in November of 2003. In March of 2004, the online application will be expanded to accommodate applications for Byrne funds and grants administered under the Violence Against Women Act (VAWA). OCJS will encourage use of GMIS for these applicants, but will not make the system's use mandatory for these new funding streams.

Prior to the November solicitations, OCJS established a small network of users that assisted them with testing and providing feedback on the new components of the GMIS system. During the solicitation itself, OCJS received approximately 35 applications online, out of a total of 100 applications for funding under the RSAT and FVP programs. OCJS officials felt good about this turnout, considering that they did not do an aggressive marketing campaign on the availability of GMIS. Rather, they just posted on their website the opportunity to apply online. As such, they feel like a 35 percent use rate is a good effort, so far, and that use of the system will only expand as more funding streams are added and as more and more people learn about the OCJS efforts to build out the GMIS system.

OCJS staff and program managers acted as a help desk by providing assistance – largely by phone – to applicants that used GMIS during the November solicitations. The OCJS staff also solicited feedback from these individuals, and with those comments, made minor system enhancements during the November solicitation process. For example, the initial online application interface had a two hour time limit per session. If a user exceeded two hours, he would have to log out and reenter the system. This time limit imposed a problem for individuals with poor Internet connectivity, so OCJS increased the timeline and created the capacity for individuals to save where they are within an application if they cannot finish it in one session.

After the November solicitation was over, OCJS IT staff contacted all individuals who had used the system, and got very positive feedback, according to OCJS officials. Overall, these applicants felt that the system was intuitive and user-friendly. The constructive feedback they received had to do largely with user technology issues, such as poor Internet connectivity.

Moving Forward

With this positive feedback and their plans to expand GMIS to the Byrne and VAWA funding streams, OCJS officials are more aggressively marketing the GMIS initiative. They have written articles in their newsletter about GMIS and are promoting it actively therein. OCJS officials report that each day they make a step forward, and that they will become more aggressive over time. For example, depending on how well-received GMIS is during the March solicitation, OCJS may make use of GMIS mandatory for applications, for both financial and programmatic information. By the end of 2004, OCJS plans for all new grantees to be using GMIS for grant application. OCJS plans to enforce this by special conditions on these new grants, to create a precedent for GMIS use.

OCJS officials are hopeful that their phased rollout of GMIS will allow subgrantees to gradually adapt to the system's use. They plan to have the resources of their IT staff available to answer questions and provide assistance, and will provide formalized training on an as-needed basis. In addition, OCJS staff have and will continue to provide assistance to its subgrantees that do not have computers and have limited access to the Internet. They have and continue to promote these jurisdictions' use of grant funds for the acquisition of basic computing hardware and software.

While OCJS officials have not quantified the return on investment in using an automated grants management process, they do have anecdotal information that the system has produced tangible efficiencies and savings in their process. For example, OCJS typically receives approximately 200 paper applications for Byrne funding each year. In the past, they have dedicated at least one person to data entry the applications. Now, they don't need someone to perform that task. Because of the reduced number of paper applications coming into the agency, they also have been able to shift their grant calendars to run on the same

schedule as the state fiscal year. They will run Byrne and VAWA solicitations concurrently, which is something they could not have done before, because of the impact on the program staff.

F. Funding and Technology Support

The initial funding for the GMIS system came entirely from the state's Y2K set aside, which paid for the initial system's assessment, development, and integration of the program and finance systems. The system's development was outsourced to a private sector provider, Battelle. OCJS began using GMIS in October of 1999.

OCJS has enjoyed a strong relationship with its private sector partner. Once the development contract ended, Battelle staff remained available to assist with the initial minor modifications to improve the system use. OCJS entered another short-term agreement with Battelle for assistance in the development of reporting modules.

After that initial investment, all costs associated with maintaining and improving GMIS have been absorbed by the OCJS and its existing federal and state funding allocations. For example, moving the GMIS application to a web-based environment was done entirely by OCJS IT staff. OCJS has used the Byrne administrative set aside to support this staff time.

OCJS officials note that their ability to tap internal IT staff for development and maintenance support has been invaluable. The OCJS IT staff is seven people strong, and one of these individuals is entirely dedicated to GMIS implementation and maintenance. Other OCJS IT staff are contributing on a part-time basis to the online components of GMIS.

OCJS officials have recommendations for other states that are looking to implement automated grants management systems in their agencies. They recommend trying to secure a dedicated IT resource internally – like the OCJS IT staff has been able to donate to the GMIS effort – so that there is technology expertise internal to the agency that begins at the very first stages of planning and system development. In addition, they recommend exploring the possibility of using federal funding – whether a set aside from the program dollars or a portion of the administrative funding – to help offset the development or maintenance costs associated with automated grants management.

G. Vision for Future

OCJS has a clear vision for the future of automated grants management within the agency. The agency's primary objective is to continue to promote the

online portion of GMIS to make the system more accessible and user friendly to the user community. In the future, this vision will expand beyond just online applications to online reporting, monitoring, and closeout. The ability to make this process easier and more efficient, OCJS officials report, is the type of service that OCJS wants to continue to expand for their subgrantees.

They continue to receive positive feedback from users about how easy the online interface is to use, and how it has made the process of applying for grants more efficient. In addition, OCJS officials are confident that the online reporting system, once developed, will result in significant efficiencies for subgrantees. The system will be able to identify basic user errors and prompt users to correct these mistakes before they are entered into the system.

OCJS officials are confident that GMIS will continue to make the grant making process more efficient and effective, from both the state and subgrantee perspectives.

Electronic Grants Management Case Study

PENNSYLVANIA[20]

I. About the Pennsylvania Commission on Crime and Delinquency

A. Mission Statement

The Pennsylvania Commission on Crime and Delinquency promotes a collaborative approach to enhance the quality of justice through guidance, leadership and resources by empowering citizens and communities and influencing state policy.

B. History

The Pennsylvania Commission on Crime and Delinquency was created in 1978 under Act 274 as successor to Governor's Justice Commission. PCCD was established as an administrative commission within the Governor's Executive Offices. Since its founding, additional statutes have embellished the roles and responsibilities of the PCCD. They include: Act 1984-2, as amended, establishing the Deputy Sheriffs' Education and Training Board; Act 1990-193 Providing for County Intermediate Punishment Programs; Act 1990-201 Providing for Sentencing to Intermediate Punishment; Act 1991-13 Amending Intermediate Punishment Sentencing; Act 1995-27S Establishing the Bureau of Victims' Services within the PCCD; Act 1998-111 Codification of victims' related statutes into the "Crime Victims Act"; Act 2000-41 Providing for sentences of partial confinement and intermediate punishment; Act 2001-30 Amending the act establishing PCCD by expanding the membership and providing the responsibilities for the activities of the Governor's Community Partnership for Safe Children and the Weed and Seed Program; and Act 2002-198 Providing for Substance Abuse Education and Demand Reduction Fund and imposing assessments.

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[20] The information for this case study was derived from a number of information sources. Primarily, NCJA staff gathered information from PCCD staff Mike Shevlin and Sally Hitz via conference call on December 19, 2003. Additional comments were taken from the meeting notes from the June 5, 2003 Focus Group Meeting convened by NCJA. Shevlin participated in that meeting on behalf of Pennsylvania. Other information was gathered from documentation provided by PCCD: Commonwealth Electronic Grants Management Information System, General Systems Design, Preliminary Draft, V. 3, May 22, 2001.

C. Functions

- Serves as a catalyst for the prevention and reduction of crime and delinquency within the Commonwealth.
- Dedicated to service -- assists the criminal and juvenile justice systems function more productively.
- Supports local efforts to improve the apprehension and prosecution of crimes.
- Promotes the use of technology to enhance operational effectiveness in local criminal justice agencies.
- Promotes fair treatment of victims and witnesses of crime. Assists victims of crime through support for direct services and by alleviating the financial burdens resulting from commission of a crime.
- Fosters community-based initiatives in the areas of crime prevention, drug abuse resistance education and juvenile delinquency prevention.
- Addresses areas in the criminal justice system not clearly the responsibility of other agencies/organizations.

The Commission performs the following functions:

Service - assists criminal justice operating agencies to function more efficiently, effectively and collaboratively in addressing the criminal justice needs of Pennsylvania's citizenry.

Policy Support - provides research on and analysis of criminal justice data to assist the Executive and Legislative branches of state government develops sound policies.

Networking - develops, maintains and utilizes contacts with all components of justice system to foster sharing of information and ideas.

Coordination - utilizes advisory committees and similar strategies to bring together knowledgeable individuals representing a broad range of state level, local government and private sector expertise to address problems and issues affecting the justice system.

Training And Technical Assistance - provides opportunities for system practitioners to improve the knowledge, skills and abilities necessary to perform their duties and responsibilities in an effective manner.

Administration of Federal And State Monies - utilizes federal and state monies to assist units of government and private organizations to prevent and reduce crime; enhance the quality of justice for all Pennsylvanians; and help alleviate the financial burdens resulting from the commission of a crime.

D. Staffing.

The Commission is comprised of the following parts: Office of the Executive Director, Office of Financial Management and Administration, Office of Criminal Justice System Improvements, Office of Juvenile Justice and Delinquency Prevention, The Office of Victims' Services, The Bureau of Training Services, and Center for Research, Evaluation, and Statistical Analysis. 122 full time employees staff PCCD.

II. About the Grants Management Information System.

A. Description of eGrants Implementation in Pennsylvania.

The Pennsylvania Commission on Crime and Delinquency (PCCD) is using a Visual dBase application for automated grants management. The current system consists of both a data input and data-viewing modules. PCCD officials note that many of the mathematical calculations in the data input modules are incorrect. In addition, the data-viewing modules are plagued with incorrect reporting logic that causes them to report incomplete or incorrect information. In order to correct both the mathematical and reporting "bugs" PCCD has created a number of Microsoft Access databases to correct some of the current system shortcomings.

PCCD officials' longer-term answer is to cobble together funds to support the planning and implementation of an expansive new automated grants management system called the Commonwealth's Electronic Grants Management Information Systems (CEGMIS), which is expect to rollout in May of 2004. The functionality of the new CEGMIS system is extensive and includes:

- Logging of incoming money,
- Tracking back to the PCCD State Plan in addition to funding sources,
- Generating web-based/email-based notifications,
- Allowing online preliminary application,
- Tracking actions on application,
- Tracking payment schedule,
- Allowing line-item budgeting,
- Entering change requests and modifications,
- Requesting continuations,
- Creating the ability to track to performance measures across all the programs,
- Facilitating contractor fiscal reporting, and
- Auditing.

In the future, the CEGMIS will also interface with the Commonwealth's accounting system.

B. Leadership, Coordination With Larger State IT Efforts.

Automated grants management has played a long-time role for the (PCCD). Many years ago, PCCD developed a grants management system that performed basic functions. But as PCCD and the number of both state and federal funding streams that the agency administered grew, they realized the existing system did not adequately meet their needs. For example, the existing system cannot merge federal and state funding streams for one grant application, which is a common place need for the PCCD staff and Pennsylvania subgrantees.

In addition to improving the basic functionality of the system and correcting the glitches that produced incorrect calculations and reporting, PCCD officials wanted to positively affect users efficiency and reduce the amount of paper-based transactions, and the redundancy that came along with them, for local users. At the state level, they wanted to improve workflow and the quality and usefulness of the information they were gathering from local grantees.

These factors, coupled with the evolution in technology and the idea of creating an entirely web-based system, are what led PCCD to embark on the implementation of a comprehensive grants management effort for the Commonwealth – CEGMIS. The idea came largely from leadership both at PCCD and the state level. In 1999, PCCD Director James Thomas approached the state's Department of Administration, where technology projects were housed at the time, looking for funding to support business process analysis with an eye to upgrade the PCCD system. At that time, the Department of Administration (OA) had "e-government" funding available and was making grants of up to $500,000 to state agencies that were looking for assistance in defining their business processes for automation purposes. The Department of Administration made a $500,000 award to PCCD with the caveat that the funds needed to develop a grants management system with a flexible design so that other state agencies could adapt and use it.

Because the PCCD system would be the litmus test, of sorts, for the entire state, the state established an Automated Grants Management working group in 2000, to identify common grant-making processes among the state agencies. The group met from February through September of that year, though their efforts waned. In 2001, the Secretary for the Department of Administration reconstituted the group and mandated that organizations participate. Page: 4 The Enterprise Projects Manager did not enter the effort until after the election when the new CIO hired her. The manager really had little interaction with the

Grants Management Advisory Group (GMAG), which by that point had already approved PCCD going forward as a pilot.

In the meantime, Mr. Thomas was pressing forward, looking for funding to support the development and implementation of the new system. By that time, the state e-government funding was no longer available, and PCCD was interested to explore the idea of using a portion of its federal funding to support the automated grants management effort. Specifically, Mr. Thomas approached the Department of Justice, Bureau of Justice Assistance (BJA), which asked him to make the business case for why they should support the design of an entirely new system, since there were some states already using automated grants management systems, many of which had been developed with federal funds. These systems were in the public domain and could be adopted by PCCD at no additional cost.

Mr. Thomas and his staff did an in depth comparison of three or four grants management systems that had been developed, but determined that none of the systems met their needs, based on the business process analysis that PCCD had just completed. Upon receiving that analysis, BJA approved PCCD's use of Byrne program funds for the design and build out of CEGMIS.

With the business process analysis complete and the use of federal funding in place, PCCD was ready to move forward. Their timing could not have been more fortuitous: with the events of September 11 and the effect it had on the national economy and federal, state, and local budgets, policy priorities in Pennsylvania and every other state were being reconsidered.

While state-level attention on automated grants management to shifted to other priorities, the leadership of the OCIO and PCCD staff has kept the momentum going for the development to the CEGMIS effort. Today, the OCIO staff has expanded and there are more resources available to assist with the PCCD CEGMIS effort. While the formal state-level advisory group has been disbanded, several state agencies are still interested in adapting CEGMIS after it is rolled out to the field. PCCD officials note the importance of the use of federal funds on this initiative: policymakers are looking to trim the state budget in response to state-level budget constraints. The fact that this project is funded with federal dollars has continued the forward momentum and shielded CEGMIS from losing its momentum because of funding issues.

C. Governance/Planning.

Governance for the CEGMIS system is vested in the CEGMIS Advisory Committee, which is comprised of PCCD managers and the OCIO Enterprise Project Manager. Given that PCCD is almost ready to go "live" with CEGMIS, the size of the group is just right, according to PCCD officials. They are nimble and can make quick decisions, should the need arise. According to PCCD

officials, once the CEGMIS system is up and running in the field, the OCIO Enterprise Project Manager may make state-level automated grants management governance more formal. The transfer of this CEGMIS system and structure to other agencies will require a stronger, state-level approach to governance.

Another issue that might require a OCIO-level approach to management is the integration of CEGMIS with the SAP state resource planning system. Originally, CEGMIS was designed to integrate using flat files, however, the state prefers that agencies integrate with the SAP system using XML. Currently, the state does not adhere to any industry data standard for sharing information so some translation will need to take place between the SAP system and the CEGMIS.

To date, local-level subgrantees have been involved in the CEGMIS business process analysis. These subgrantees helped define necessary functionality as well as the tools that might help them in their use of the system. Once development is completed, PCCD will engage the user community in system testing and feedback before final rollout to the field.

D. User and Other Implementation Issues.

PCCD officials practice the importance of involving local users in the testing and rollout planning of the new CEGMIS system. Their goal is to have a "go live" date of May 2004 and be up and functioning throughout the state for all funding streams for the June-December 2004 PCCD meetings and subsequent funding decisions.

During the business process analysis effort, PCCD conducted brainstorming sessions with local users to identify what they needed and how a new grants management system could better support them. PCCD incorporated this feedback into the design of the new system right away. As such, feedback about the system as it has developed, has been universally positive. Some of the identified issues include: eliminating redundant data entry, incorporating the ability to cut and paste from past years' applications, and email notifications for reporting and application deadlines.

Currently, a workgroup of PCCD staff are developing specific pilot, rollout, and training plans. Coupled with the outreach effort is a concurrent internal effort to get PCCD users up-to-speed on the system and to overcome any concerns there might be about moving to a new application. PCCD officials want to send the clear communication internally and to their constituency that the CEGMIS is going to be the heart of the agency's day-to-day operations from now on.

PCCD plans to involve some of its users in the testing process, before pilot use of the CEGMIS system, to run test scripts and provide feedback to the

developers before system implementation begins. For rollout, PCCD plans to enlist some pilot users at first, to test the applying and reporting functions online.

The pilots will be dictated by funding announcement, rather than geography or jurisdiction. The agency recognizes that because of its broad-based constituency and the differing access that subgrantees have to the Internet and computer hardware and software in general, that they cannot initially mandate the use of CEGMIS. Specifically, their planned policy is to encourage all users to apply online with CEGMIS. If for some reason the agency cannot use the system, they will have to ask for a waiver from PCCD.

After initial rollout, PCCD expects to dispatch a "mobile training team" to address the how-to-do-this-online. An egrants for dummies manual is being considered to run through specific tasks as well as inexpensive web-based training tools to build point and click simulations. The system will include built in hyperlinks to PCCD staff to get subgrantees in touch with the right people at PCCD.

E. Funding.

PCCD cobbled together funding to support the CEGMIS effort from a variety of sources. From the Commonwealth of Pennsylvania, the agency received $500,000 for the business process analysis study and $100,000 to consolidate forms and reports. BJA approved PCCD's request to use $3.5 million from its formula grant allocation under the Edward Byrne Memorial State and Local Law Enforcement Assistance Act (Byrne) program. Specifically, PCCD was able to make the argument for use of program funds under Byrne purpose area 15b regarding criminal justice information systems and that CEGMIS was an information technology initiative that will help law enforcement and other criminal justice agencies manage projects better. Likewise, they argued, it would assist PCCD staff in better managing and allocating limited federal dollars because they would be looking at solid data and solid performance measures, and truly have the ability to fund programs based on outcomes.

PCCD officials expect that the $3.5 million allocation from Byrne will last them through September 30, 2004, at which time rollout should be completed. After September 30, PCCD hopes to use state funding as well as the Byrne Formula administrative monies to support the CEGMIS system.

PCCD officials recognize that it would be difficult for another state, in these fiscal times, to take the same approach as they did to fund automated grants management. Their advice is to leverage what has been developed by other states and plan for incremental steps and implementation. Another important aspect to take into account, PCCD officials note, is that the normal

software lifecycle requires funding for ongoing maintenance and improvements. Technology is not a one-time investment but an ongoing operational cost. It is important that agencies understand that and begin to budget in a manner that supports the ongoing commitment to technology.

F. Technology Support

PCCD has partnered with the private sector extensively on the planning and development of its CEGMIS system. Initially, they contracted with Deloitte and Touche for the business process analysis. Deloitte and Touche had previously conducted a management study for PCCD and was selected to integrate the results of that earlier effort into the business process design for the new grants management system. The Deloitte and Touche recommendations were extensive and included recommendations to improve subgrantee monitoring and improve efficiency in the process. Their largest single recommendation was to upgrade the existing grants management system. After the initial business process analysis study, PCCD further contracted with Deloitte and Touche to assist with the overall systems design. Their early partnership with industry greatly assisted PCCD in both making the business case for funding but also moving quickly on to implementation, as the agency's contract support was in place from the outset. Deloitte and Touche subcontracted with Computer Aid, Incorporated (CAI) for some technical work on the design contract. Once the design was completed, PCCD let a request for proposals for system construction, which CAI won. PCCD officials note that their relationship with both vendors has been excellent.

PCCD officials encourage other state agencies to consider outsourcing some of the development work associated with automated grants management systems to the private sector, unless the agency has strong internal information technology (IT) support within their organization. Even if a state agency decides to use the grants management technology developed by another state administrative agency (SAA), there will need to be some modifications to the system.

In addition to the liaison with the private sector, PCCD has counted on support from the OCIO's office as well. The OCIO not only has representation on the CEGMIS governance body, but has also agreed to host the application at a large, central server farm that it maintains. As such, PCCD does not have to provide network and hardware support to users – the OCIO does all of that. OCIO is also giving PCCD access to enterprise-wide Crystal Reports functionality, as well as Biz Talk for communications. Considerations such as these are crucial when adopting such a comprehensive system, say PCCD officials. States that are just getting started or that have a weak central state IT focus should consider these factors as well when deciding on how much of an automated grants management system to adopt.

G. Vision for Future.

The overarching PCCD goal for CEGMIS is to create an entirely paperless system, allowing subgrantees (and PCCD staff) to conduct activities from apply and report and to audit and closeout without using paper. Achieving this will afford PCCD staff with more comprehensive information that will help overcome the organizational divide between program and financial information. In addition, the information that PCCD reports to BJA and other federal agencies will improve, allowing the agency to report on how much funding was spent on a specific purpose area as well as outcome and other performance measures. PCCD is also very interested in helping the OCIO leverage CEGMIS for other state agencies. They plan to keep CAI onboard through September for knowledge transfer to own it staff for support of the system internally. They expect to contract with CAI in the future when other agencies want system enhancements. Currently, they plan to engage in a cost-sharing structure with the other state agencies that adopt CEGMIS. If the upgrades or modifications that a particular agency wants enhance PCCD's work and its service to the justice community, they will support it. If a modification is entirely outside the business practice of PCCD and other justice agencies, then the specific agency is going to have to pick up the cost for the modification. PCCD also expects to be a strong participant in the expanded governance structure initiated by the OCIO's office, especially as the SAP rollout for the Department of Administration continues.

Overall, PCCD officials feel very good about where they are heading and are cognizant of the importance of the federal level support from BJA. Without that funding, they note, PCCD would not be heading in this successful direction. The PCCD system and structure will have great portends for other agencies in other states as well as the federal Grants.gov initiative.

Electronic Grants Management Systems Case Study

SOUTH CAROLINA[21]

I. About the Office of Justice Programs

A. Mission Statement.

The primary mission of the Office of Justice Programs is to promote the welfare of South Carolinians through the advocacy of justice, the reduction of crime, and the furtherance of improvements within the state's various public safety systems.

B. History.

Statutory authority for the program resides in Act 181 of 1993 that became effective on July 1, 1993. The principal code sections relevant to the Office of Justice Programs are Sections 23-6-20 and 23-6-30 of the South Carolina Code of Laws, as amended by Act 459 of 1996. Under these sections, the former Division of Public Safety Programs in the Governor's Office was repositioned into the Department of Public Safety. The Division of Public Safety was renamed the Office of Safety and Grants and placed under the Division of Administrative, Financial Services and Safety. Later this office was removed from that Division, and merged with the former Highway Department Safety Office to form a unit that reports to the Office of the Director. In 1999 the Office of Highway Safety became a separate office and the Office of Safety and Grants was renamed the Office of Justice Programs.

C. Functions.

The Office is charged with the administration of criminal justice programs as well as the development of statistical data that enable sound policy decisions. This is done by applying broad analytical and research techniques and through effective coordination with other state and local public safety agencies.

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[21] The information for this case study was derived from a number of information sources. Primarily, NCJA staff gathered information from South Carolina Department of Public Safety staff Burke Fitzpatrick, Director; Jim Kleckley, Director of IT for Dept. of Public Safety; Laura Whitlock, Program Administrator for Juvenile Justice; Tracey Dove, Justice Programs (Adult); and John Stewart, Justice Programs (Adult) via conference call on December 19, 2003. Additional comments were taken from the meeting notes from the June 5, 2003 Focus Group Meeting convened by NCJA. Fitzpatrick participated in that meeting on behalf of South Carolina.

D. Staffing

OJP is staffed through 20 positions that include an administrator, a director of the Criminal Justice Statistical Analysis Center, 3 program managers, an evaluator, 4 administrative assistants, and 10 PICs.

E. Funding Streams.

The following grant programs are administered by the OJP. Please note that the Office also routinely administers smaller, non-recurring grants such as research grants that focus on narrow issues. OJP manages on any given day over 400 grants, totaling nearly $21 million.

- Drug Control and System Improvement Program (Byrne Formula Program)
- Local Law Enforcement Block Grant Program
- Residential Substance Abuse Treatment for State Prisoners Program - 2
- Police Corps Program
- Juvenile Justice Formula Grant Program
- Title V – Incentive Grants for Local Delinquency Prevention Programs
- State Challenge Grants Program
- Juvenile Accountability Incentive Block Grant Program
- Victims of Crime Act Program
- State Victims Assistance Program
- S.T.O.P. Violence Against Women Act Program
- State Justice Statistics Programs for State Analysis Centers

II. About the Grants Management Information System

A. Overall Description of eGrants Implementation in South-Carolina

The move toward automated grants management in South Carolina was initiated at the State Administrative Agency (SAA), within the Office of Justice Programs (OJP) at the South Carolina Department of Public Safety (DPS). Officials at OJP knew that introducing technology to the grants management process would make it more efficient and help save both staff and subgrantee resources and time. In addition, OJP officials knew that more readily available information would help the agency be responsive to questions about funding and crime control and prevention programs from the media, state legislature, and citizens in general.

OJP leadership did not let the recent downturn in the economy and reduced state budgets and federal dollars deter them from their efforts; in fact, they argued that the improved efficiencies that would be derived from automation would save the agency time and money while improving customer service. OJP officials saw the move to technology as a "must" to help reduce the impact from a budget crunch, rather than perceiving it as an additional cost or extra program.

Currently, the Grants Management Information System (GMIS) allows subgrantees to apply and conduct reporting activities online, using a web-based interface. State-level program managers are able to manage the grant from application to closeout and to produce ad hoc management reports. In the future, OJP would like their GMIS system to better integrate with the agency's financial management and accounting systems.

B. Leadership.

Automated grants management in South Carolina began in October of 2002 and was initiated from staff discussions about the business functions an automated system would need to fulfill. They were assisted in their discussions by staff from the DPS Information Technology (IT) office. The IT staff helped OJP develop a functional requirements list that described the system's business processes, which was later incorporated into a procurement document. Staff from the IT office also assisted in helping OJP formalize their arguments for automated grants management for presentation to other stakeholders, such as the State's Justice Coordinating Council.

The threshold moment for GMIS in South Carolina, was the OJP presentation to the Coordinating Council and their proposal to spend grant funding on the automated grants management project. OJP leadership argued that they could overmatch funds from the Juvenile Accountability Incentive Block Grant (JAIBG), the Edward Byrne Memorial State, and Local Law Enforcement Assistance Act (Byrne) formula grant program to minimize the amount of limited state money invested in the effort. The Council found their proposal acceptable and gave OJP the "green light" to move forward with planning and development.

In developing the request for procurement (RFP), OJP contacted other SAAs that had developed automated grants management systems, hoping to find a commercial off-the-shelf (COTS) product that could be easily installed with minor modifications/costs. A number of vendors were invited to join OJP to visit other states that had installed automated grants management systems, to gather as much information and "lessons learned" from these other experiences. What OJP found were a number of customized, proprietary solutions that did not meet their needs. OJP officials concluded that by the time any of these systems were customized to the South Carolina functional requirements, a lot of money would be spent to "fit a round peg into a square hole."

C. Coordination With State IT Efforts.

In general, the development of GMIS for OJP was a stand-alone effort; it was the first automated grants management effort in the state. In addition to the Coordinating Council's approval of the funding, the State Chief Information Officer (CIO) office had some initial involvement, to ensure that the GMIS initiative comported with state IT standards.

And while there are no formal linkages between the OJP office and other grant-making agencies during the development of the GMIS, many agencies are now interested in the system. For example, the South Carolina State Police, Law Enforcement Division (SLED) is the administering agency for Department of Homeland Security-administered funding. These funds are new to the agency, and as such, SLED does not have a grants making infrastructure in place. SLED has looked to DPS and OJP in particular for guidance on the process involved in making grants, and may consider adopting GMIS at some point in the future.

OJP has benefited significantly from the strong IT office within DPS, which not only helped develop functional requirements for the automated grants management effort but also assisted with other technology planning and procurement issues. OJP projected that it would have approximately 2500 users of their automated grants management system, and the DPS IT staff helped them determine, based on its understanding of the technology being used in the field, that they would require no new hardware and very little new software. This was a tremendous advantage in moving forward.

D. Governance/Planning.

The governance and planning structure for automated grants management in South Carolina was largely informal and internal to DPS. The initial goals were to create a strong, modularized baseline system upon which OJP could add capacity to the GMIS for new funding streams, as they became mandated. As such, OJP staff knew that their initial development effort would be significant, in order to develop that strong baseline. This model has paid off: OJP officials believe that they have a strong, robust application that has allowed them to easily add capacity to the system with little or no significant development effort.

For the most part, governance activities consist of a series of internal meetings that included OJP program and finance staff, as well as representatives from the DPS IT office. Overall, the OJP and DPS staffs are pleased with this structure: the informal and frequent nature of their meetings has helped them make decisions quickly and keep evolving their planning efforts. OJP officials recognize that a more formal governance structure may be appropriate for larger agencies with more external stakeholders. When requesting and reporting on

funding matters, however, the process was formalized since DPS was essentially requesting grant funds from the Coordinating Council like any other subgrantee.

The overall OJP perspective on funding and implementing automated grants management is to build the core of the grants management system using the federal funding overmatch within the funding streams that were available and would be managed through the system. As more funding streams become available, they will be incorporated into the grants management system. Currently, OJP uses the GMS for Byrne, JAIBG, and formula funds administered by the Justice Department's Office of Juvenile Justice and Delinquency Prevention (OJJDP). In the future, OJP hopes to incorporate the Local Law Enforcement Block Grants (LLEBG) program, the Residential Substance Abuse and Treatment (RSAT), Victims of Crime Act (VOCA), and Violence Against Women Act (VAWA) programs.

E. User and Other Implementation Issues.

Planning for the GMS system in South Carolina took place largely at the state level. The SAA staff and managers were confident they understood their needs for information as well as what would make the grants application and reporting process easier for subgrantees. During program development of the program, there was nominal local user input. However, OJP did a significant amount of outreach to the field to make its subgrantees aware of the automated grants management initiative being undertaken in South Carolina. They introduced the topic in their seminars and workshops for the field, and provided follow up support via telephone and email. They also involved the technical DPS staff during these sessions to help "sell" the virtues of automation to the users.

Despite the outreach effort, the OJP staff was concerned about how well the automated grants management system would be received. As such, the first round of JAIBG and Byrne formula applications available on GMS was optional; OJP still entertained paper applications.

The number of applicants that chose to use the GMS system pleasantly surprised OJP officials; it was accepted and adopted much more quickly than they originally thought. There were two primary obstacles for those subgrantees that chose not to use the system to apply. The first was that smaller jurisdictions did not have access to the technology needed to successfully transmit applications, due largely to limited or slow Internet connections. These agencies were also challenged with the cultural move from paper to technology; the process in shifting mindsets and habits is evolutionary in some smaller agencies. OJP staff found themselves giving advice to these agencies regarding the type of skills that were needed to use technology and the Internet effectively.

There were some technical problems with the initial rollout, many of which had to do to with the initial login screen. By establishing a quick and easy feedback loop with users, OJP staff was quickly aware of these problems and was able to correct the problems. Moreover, corrections to the GMIS were made as quickly as the problems were diagnosed..

In addition to reducing the amount of time and effort associated with applying for and reporting on grant activity, OJP eliminated the need for signatures from the designated official of the jurisdiction. Now, JAIBG and Byrne applicants can submit by paper, but funds are awarded, they must enter their application electronically.

Additional Benefits

There are several additional benefits OJP officials and their subgrantees have experienced with the rollout of the state's GMS system. At the state level, OJP program managers have access to additional, administrative modules that assist them in tracking and processing the grant applications. In addition, OJP officials are certain that there have been administrative cost savings associated with implementing the system, such as reduced paper and postage costs. However, they have not yet formally or comprehensively measured all of the cost savings possible from implementing the system.

F. Funding.

OJP officials were challenged in trying to cobble together the resources to create their automated grants management system. They were faced with the reality of having no additional funds from the state with which to undertake this effort, and that the development process would take resources beyond those, which OJP could absorb into their operating budget. OJP leadership also knew that they didn't have money for the match requirements associated with a separate federal grant, should one have become available.

As such, they looked carefully at their disbursements and found overruns, returned dollars from subgrantees, as well as instances of an overmatch from various federal funding streams – JAIBG and Byrne formula – which they deposited into an interest bearing account. From these efforts, they were able to cobble together all of the funding they needed for the initial development of the GMS system.

OJP officials have several suggestions for states that are considering developing and implementing electronic grant management systems. OJP encourage other states to find ways to leverage as much of their federal formula grant allocations for this purpose. They noted that federal funding made it easier to garner support within the state for development and implementation, since

federal funding would not divert limited state and operational dollars from other priority programs.

Another recommendation from OJP is to become aware of the automated grants management system initiatives that are developing in other states, and determine if any of those systems – especially those supported with federal funds – can be retrofitted to meet the state's needs. There are a number of states that are developing or refining their systems, and many of these systems may have the functionality that a state is looking to adopt.

OJP officials urge states to think of technology in general, and certainly that used for automated grants management systems, as a long-term investment, rather than a one-time "project." Federal funding is great to support the expense associated with initial development and build out of a system, but once the system is up and running, it is critical that organizations absorb the maintenance and ongoing development and improvement costs within their operational budgets

G. Technology Support.

OJP, with the assistance of the DPS IT staff, did much of the work in developing automated grants management. The agency worked with a private sector provider for the advanced code compilation and for planning of how the grants management system would interface with other internal DPS systems. A small team of DPS IT staff that provided oversight and operational concurrence on these technology and interface issues. All other planning and implementation functions: project management, internal JAD sessions, and rollout and implementation planning, was all done with an internal team of DPS IT staff and OJP managers. This small team was able to move at a fast pace that facilitated reasonably rapid system development.

OJP officials reiterate the importance of the DPS IT staff in the creation of their automated grants management effort: without this internal resource, OJP would not have been able to undertake this effort. The DPS staff is almost 40 people, and the CIO, Jim Kleckley, was the GMS project manager. He had assistance from an administrative person to assist with the project management activities. They were able to tap various IT specialists – internet and web developers, security specialists – on an as needed basis. Kleckley estimates that 60 percent of his staff participated in the GMS effort at one point or another in its development.

Even though OJP had access to these extensive in-house resources, they advise other states to ensure that there are in-house staff that understand fully the technical and functional elements of the grants management system. The shrinking budgets that most states have faced over the past couple of years may

limit an agency's ability to outsource for technical assistance, such as maintenance and future technical system development.

H. Vision for Future.

In the short term, OJP and DPS IT officials hope to perfect the current GMIS system; to work out the "bugs" and create a stable system that is easily maintained by current staff. They also hope that they are able to expand their GMS system to other funding streams, such as VAWA, VOCA, LLEBG, and RSAT, among others.

A longer-term goal is to integrate financial accounting to the GMIS system while maintaining the agency's robust accounting policies and procedures. OJP is considering integrating GMS with a COTS accounting software to fully integrate the programmatic and financial reporting aspects of grants management. However, current financial management policies require that all transactions be documented with a paper trail. As such, any software integration work will need to be carefully planned.

On user side, OJP officials hope to incorporate more robust statistical and reporting functionality into GMIS so that subgrantees are able to better analyze and report on the efficacy of the programs they are funding.

National Criminal Justice Association

Electronic Grants Management Systems in State Criminal Justice Administering Agencies

APPENDICES

Appendix 1

Survey of States
Comprehensive Grant Management and Information Systems

This survey is to determine what state administering agencies currently have computer grant management systems and, if so, what their capabilities are.

If you have such a system, please complete this survey by answering checking all of the boxes that apply to your system.

Does your system:

- ❑ Provide for applicants to apply online?
- ❑ Allow grantees to do performance and other programmatic reporting online?
- ❑ Allow grantees to do financial reporting and request payments online?
- ❑ Enable your grant managers to manage the grant from application to close-out? Does it include the following elements?
  - ❑ Preparation and printing of award documents (or online awards)?
  - ❑ Preparation and printing of grant adjustments (or online notification)?
  - ❑ Preparation and printing of financial documents (or online equivalent)?
  - ❑ A place to capture managers' notes or grantee contacts?
  - ❑ The ability to track the status of special conditions or other requirements?
- ❑ Enable your staff to produce ad hoc reports that allow you easy access to a broad array of information on both a grantee level and for all of your grants as a whole?
- ❑ Provide for flexibility in adding or removing funding sources?
- ❑ Allow you to use it for all of your funding sources?
- ❑ Enable you to use it as an essential tool for annual reporting and planning needs?

Note: Please complete this survey even if you are currently building a new system. Make note of this fact below, letting us know when you expect its completion.

State: _____

RESULTS FROM SAA SURVEY 2003

Appendix 2

State	Apply Online	Report Online	Paymts Online	Awards Online	Notify Online	Fin Docs Online	Mgr Notes	Track Condits	Ad Hoc Repts	+/-" $ Sources	All $ Sources	Report Plan	# of elements
AK	N	N	N	N	N	N	N	N	N	N	N	N	0
AR	D	D	D	D	D	D	D	D	D	D	D	D	0
AZ	P/D	P/D	P/D	P/D	P/D	P/D	P/D	P/D	P/D	P/D	P/D	P/D	0
MA	N	N	N	N	N	N	N	N	N	N	N	N	0
MI	P	P	P	P	P	P	P	P	P	P	P	P	0
MS	N	N	N	N	N	N	N	N	N	N	N	N	0
NJ	N/P	N/P	N/P	N/P	N/P	N/P	N/P	N/P	N/P	N/P	N/P	N/P	0
NV	N	N	N	N	N	N	N	N	N	N	N	N	0
RI	N	N	N	N	N	N	N	N	N	N	N	N	0
SC	Y/P	Y/P	N/P	Y/P	Y/P	Y/P	Y/P	Y/P	Y/P	Y/P	Y/P	Y/P	0
VT	P	P	P	P	P	P	P	P	P	P	P	P	0
WV	N	N	N	N	N	N	N	N	N	N	N	N	0
IA	N	N	N	N	N	N	N	N	N	N	N	N	0
ID	N	N	N	N	N	N	N	N	N	N	N	N	0
KS	N	N	N	N	N	N	N	N	Y	Y	Y	N	3
PA	N/D	N/D	N/D	N/D	N/D	Y	N/D	N/D	N/D	Y	Y	N/D	3
HI	N	N	N	N	N	N	Y	N	Y	Y	Y	N	4
IL	N	N	N	N	N	Y/N	Y	Y/N	Y	Y	Y	Y/N	4
MN	N	N	N	N	N	Y	N	N	Y	Y	Y	N	4
FL	N	N	N	Y	N	N	N	Y	Y	Y	Y	Y	6
NH	N	N	N	Y	Y	Y	N	N	N	Y	Y	Y	6
CO	N	N	N	Y	Y	Y	Y	Y	Y	Y	N	Y	8
LA	N	N	N	Y	Y	Y	Y	Y	Y	Y	N	Y	8

State	Apply Online	Report Online	Paymts Online	Awards Online	Notify Online	Fin Docs Online	Mgr Notes	Track Condits	Ad Hoc Repts	+/-" $ Sources	All $ Sources	Report Plan	# of Elements
NE	N	N	N	N	Y	Y	Y	Y	Y	Y	Y	Y	8
TN	N	N	Y	Y	Y	Y	N	N	Y	Y	Y	Y	8
AL	N	N	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	9
CT	N	N	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	9
GA	N/P	N	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	9
MD	Y	D	D	Y	Y	Y	Y	Y	Y	Y	Y	Y	9
MT	D	D	D	Y	Y	Y	Y	Y	Y	Y	Y	Y	9
NY	Y	Y	N	Y	Y	N	Y	Y	Y	Y	Y	Y	9
OH	N	N	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	9
NC	Y	Y/N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	10
TX	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	11
WA	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	11

Y	Yes, grants management system includes the element
N	No, grants management system does not include the element
Y/N	Element is partially included in GMS system
P	Element is in planning stages
D	Element is in development or programming stage

Appendix 3

Survey of States
Comprehensive Grant Management and Information Systems

As a follow-up to a similar survey distributed in April 2002, this survey is to determine what state administering agencies currently have computer grant management systems and, if so, what their capabilities are. Any documentation about your system that you are willing to share would be greatly appreciated.

If you have such a system, please complete this survey by checking all of the applicable boxes. Please complete this survey even if you are currently building a new system. Make note of this fact below, letting us know when you expect its completion.

- ❑ Provide for applicants to apply online?

- ❑ Allow grantees to do performance and other programmatic reporting online?

- ❑ Allow grantees to do financial reporting and request payments online?

- ❑ Enable your grant managers to manage the grant from application to close-out? Does it include the following elements?
  - ❑ Preparation and printing of award documents (or online awards)?
  - ❑ Preparation and printing of grant adjustments (or online notification)?
  - ❑ Preparation and printing of financial documents (or online equivalent)?
  - ❑ A place to capture managers' notes or grantee contacts?
  - ❑ The ability to track the status of special conditions or other requirements?

- ❑ Enable your staff to produce ad hoc reports that allow you easy access to a broad array of information on both a grantee level and for all of your grants as a whole?

- ❑ Provide for flexibility in adding or removing funding sources?

- ❑ Allow you to use it for all of your funding sources?

- ❑ Enable you to use it as an essential tool for annual reporting and planning needs?

Please respond to the following questions regarding your grants management system.

Does your system have automated audit reconciliation capability?

❑ Yes	❑ No

At what stages of planning would you characterize your electronic grants program? (Please check all that apply.)

- ❑ Pre-Planning
- ❑ Strategic Planning
- ❑ Needs Assessment/ Requirements Analysis
- ❑ Development
- ❑ Implementation
- ❑ Post-Implementation/Assessment

Have you analyzed your business processes?

❑ Yes	❑ No

Do you have a budget for your grants management initiative?

❑ Yes	No

If yes, what is your annual budget:

What is your source of funding for your grants management initiative?

Do you currently have the necessary personnel to support a comprehensive grants management system?

❑ Yes	❑ No

Have you assessed your constituency's readiness to submit online grant applications?

❑ Yes	❑ No

Please Explain:

Is your system part of a larger state-wide grants management system?

❑ Yes	❑ No

Please Explain:

Are you aware of grants management initiatives within your state?

❑ Yes	❑ No

Are you aware of grants management initiatives in other states?

❑ Yes	❑ No

Are you aware of grants management initiatives/systems at the federal level (both justice and non-justice)?

❑ Yes	❑ No

Have you leveraged work already completed by other entities?

❑ Yes	❑ No

Please Explain:

State: _____

Contact Information for questions related to your system:
Name:

Phone:

Email:

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Results of SAA Survey 2004

Appendix 4

State	Audit Reconciliation	Status	Business Process	Annual Budget.	Fund Source	Necessary Personnel	Constituency Readiness	Part of Larger System	Aware of In- State Systems	Aware of other state Systems	Aware of Federal Systems	Leveraged other work
CO	Y	NA/RA (for new system)	Y	N		Y	N Assessing needs for a new grant management system because current system is out dated and the IT dept. is unable to support it. Online services, such as online grant applications and reporting, being considered but this is several years away.	N	Y	Y	Y	N A user group from the Division of Criminal Justice visited the Co Dept. of Local Affairs to view their grant management system. The core system would provide the needed capabilities, however modifications must be made to tailor the system to the DCJ's grant programs. DOLA indicated they would be willing to share their core system with the DCJ.
CT	N	P-I/A	Y	N	N	N	N	N	N	N	N	N
DC	N	PP; NA/RA; P-I/A	N	N		Y For current system; not for advancement	N	N	Some	Y	Y	N
FL	Y	PP; SP; NA/RA; D	Y	N	Using admin. funds from Byrne, RSAT, and VOITIS	Y	N This is planned for the near future	N Application being built will be agency specific, but considering another agency to co-write the application	N	N	N	Y Several private companies showed their products, but none met our needs. Also surveyed our state agencies that administer the Byrne/RSAT/LLEBG grants, but of those that replied, none met our specifications

PP=Pre-planning; SP= Strategic planning; NA/RA=Needs assessment/requirement analysis; D=Development; I=Implementation; P-I/A=Post-implementation/assessment

State	Audit Reconciliation	Status	Business Process	Annual Budget.	Fund Source	Necessary Personnel	Constituency Readiness	Part of Larger System	Aware of In- State Systems	Aware of other state Systems	Aware of Federal Systems	Leveraged other work
GA	Y	P-I/A	Y	$21,000 in contractual programming and support plus a percentage of updated equipment/server $8,000 for e-business. Also have a full-time position devoted to e-business in the upcoming year (approx. $30,000)	Federal admin. funds and small amount of state funding.	Y	Y	N	Y	Y	Y	Y We have a system that was first developed for the State of Louisiana and continue to share some costs for advances in development of new functionality.
HI	N	PP	Y	N		N	N	N	N	Y FL	N	N
ID	Y	D	Y	N	Byrne Indirect	Y	Y	N	N	Y	N	N
IL	N	NA/RA; D (System developed several years ago needs updating)	Y	N		N	N	N	N	Y	Y	N Reviewing

PP=Pre-planning; SP= Strategic planning; NA/RA=Needs assessment/requirement analysis; D=Development; I=Implementation; P-I/A=Post-implementation/assessment

State	Audit Reconciliation	Status	Business Process	Annual Budget.	Fund Source	Necessary Personnel	Constituency Readiness	Part of Larger System	Aware of In- State Systems	Aware of other state Systems	Aware of Federal Systems	Leveraged other work
MT	Y	P-I/A	Y	N	NA	N Need full-time programmer	Y Reporting system will be Web Based - Most of our customers have access to the Internet	N	N	Y	Y	N
NC	Y	I; P-I/A	Y	N	Assorted federal administrative and state matching funds	Y	Y Just completed third year of online submissions. Each year process is assessed, based on customer or complaints, and revised system accordingly.	N It is not formally connected or interfaced with another GMS but is linked via the Internet to the state grants information portal.	N	Y	Y	N Our system was developed in-house using contract programmers. Now have permanent staff for technical support.
NH	N	D; I; P-I/A	N	N	NA	N	N	N	Y	Y	Y	N
NY	Y	D	Y	$324,615	Byrne Funding	Y	Y Based on prior experience with current e-system (client software)	N	Y	Y	Y	N
TN	N	D;I	Y	N					N	Y	N	N

PP=Pre-planning; SP= Strategic planning; NA/RA=Needs assessment/requirement analysis; D=Development; I=Implementation; P-I/A=Post-implementation/assessment

State	Audit Reconciliation	Status	Business Process	Annual Budget.	Fund Source	Necessary Personnel	Constituency Readiness	Part of Larger System	Aware of In- State Systems	Aware of other state Systems	Aware of Federal Systems	Leveraged other work
SC	N	NA/RA ; D; I	Y	This year, approx. $125K. Currently, no additional funds available	100% fed. grant funds, JAIBG and Byrne	N	Y Have online grants process, but applicants not required to submit online, yet. Some smaller jurisdictions prefer to submit paper copies with original signatures	N	Y	Y Some	Y	Y After looking at the Texas and other models, our IT staff decided that it would be too costly and time consuming to modify the existing program.
UT	N	PP; SP; NA/RA	Y	$5,000 to $10,000	Fed./State funding	Y	N Will be discussed at Fall training conference	N	N	N	Y	N
WA	P	NA/RA	Y	35,000-50,000	Part of IT portfolio funding	N Technologist position open and need $ to cover training and maintaining staff	N	Y	Y Systems are not integrated; no single approach throughout network.	Y	Y	Y Projects ongoing within the agency that will enhance existing IT resources, change current b'ness practices, and allow extensions of services that integrate program management and grants/fiscal management. Most are built around on-going upgrades to fiscal/budget "dumb" terminals and servers to "smart" integrated portals.

PP=Pre-planning; SP= Strategic planning; NA/RA=Needs assessment/requirement analysis; D=Development; I=Implementation; P-I/A=Post-implementation/assessment

State	Audit Reconciliation	Status	Business Process	Annual Budget.	Fund Source	Necessary Personnel	Constituency Readiness	Part of Larger System	Aware of In- State Systems	Aware of other state Systems	Aware of Federal Systems	Leveraged other work
WI	N	PP; NA/RA	N	N	NA	Y	N Grantees ability to apply on-line not formally surveyed but they continually request the process. Applications are submitted via e-mail to most grantees but require original signature as WI has not yet approved electronic signatures.	N	N	N	N	N
WV	N/A	N/A	N	N	NA	Y	N	N	N	Y	Y	N

PP=Pre-planning; SP= Strategic planning; NA/RA=Needs assessment/requirement analysis; D=Development; I=Implementation; P-I/A=Post-implementation/assessment

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Appendix 5

National Criminal Justice Association
e-Grants Focus Group
June 5, 2003
Topaz Hotel
Sanctuary Meeting Room

AGENDA

8:30 – 8:35	Welcome and Overview *Cabell Cropper, NCJA*
8:35 – 8:50	Opening Remarks *Richard Nedelkoff, BJA*
8:50 – 9:00	Meeting Objectives and Project Background *Cabell Cropper, NCJA*
9:00 – 10:30	Status of e-Grants Systems State agency participants will provide a 10 minute summary of the e-Grants systems in their jurisdictions. Points to be covered include: • Vision for the system • System functionality • Plus/Delta analysis – what works; what would you change Tribal participants will discuss uses of grants management systems for tribal governments.
10: 30 – 10:45	Business Process Documentation Methodology *Patrick Cropper, IJIS Institute*
10:45 – 11:00	Break
11:00 – 11:30	Federal e-Grants Initiative *Charles Havekost – Program Manager, Federal e-Grants Initiative*
11:30 – 12:00	Implementing Electronic Grants Management in the Office of Justice Programs *Paul Belkin, OJP Office of the Chief Information Officer*
12:00 – 1:00	Reaction and Discussion about Federal e-Grants Initiative – Working Lunch *Facilitator: Jay Marshall, NCJA*
1:00 – 3:45	Group Discussion: Understanding the e-Grants Process *Facilitator: Jay Marshall, NCJA* • Discussion Questions • Functional template for the grant life cycle
3:45 – 4:00	Closing Comments *Cabell Cropper, NCJA*

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Appendix 6

e-Grants Focus Group Questions
June 5, 2003

e-Grants System Scope

1. Is there any merit to having a "one size fit all" system that can be implemented, in whole or in part, by all of the states? Or should we allow each state to develop its own capacity, independently? If the latter, should NCJA be providing standards to the states in building and implementing e-Grants systems?

2. Is there a tipping point in what a "fully functioning" e-Grants system can do that makes it either overly burdensome or causes loss of value to the users?

3. What partners, state or local, do we need at the table to ensure that development, implementation, and enhancements to e-grants systems are coordinated/supported?

4. What experiences have you had with your system and the issue of proprietary rights? Should access to one states e-Grants system be given to other states? If so, why?

e-Grants System Functionality

5. NCJA has identified 11 aspects or functions of a "fully functioning" e-Grants system? Do these aspects or functions make sense?

    - Online applications
    - Online performance and programmatic reporting
    - Online Financial reporting and request payments
    - Online preparation and printing of award documents (or online awards)
    - Online preparation and printing of grant adjustments (or online notification)
    - Online preparation and printing of financial documents (or online equivalent)
    - A place to capture managers' notes or grantee contacts
    - The ability to track the status of special conditions or other requirements
    - Enable staff to produce ad hoc reports that allow easy access to a broad array of information on both a grantee level and for all grants as a whole
    - Allow use for all funding sources
    - Use as an essential tool for annual reporting and planning needs

6. What are primary attributes to having a "fully functioning" e-Grants system?

Support for e-Grants System Development

7. What are factors that will limit the ability of State Administering Agencies (SAAs) to implement a "fully functioning e-Grants system?"

8. What are strategies that you have used to overcome those limitations?

9. What kind of documentation would best serve the SAAs in helping them develop and/or implement fully functioning e-Grants system?

10. Given that the states are in various stages of administering e-grants system, how should NCJA prioritize its use of scarce resources to deliver technical assistance?

11. Is there interest among the SAAs to see a demonstration of the various e-Grants systems?

National Criminal Justice Association
e-Grants Focus Group Participant List
June 5, 2003

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Appendix 8

QUESTIONS FOR PILOT SITES
NCJA/BJA *e*GMS INITIATIVE

1. Leadership

a. Who initiated the effort and why?
b. What players are involved currently?
c. Are there others that want to be/should be?
d. How did you cultivate support for this effort?

Audience: Agency policy representative, site POC

2. Coordination with Larger Technology Efforts in the Agency, State.

a. Is this *eGMS* effort agency wide, or does is it part of a larger system with other state agencies?
b. How does it relate with other state-level IT priorities?
c. Did you involve the state CIO in the design and development stages?
d. Is *e*GMS, generally speaking, a priority in your state?

Audience: Agency policy representative, CIO policy representative, site POC

3. Governance/Planning.

a. Was there a formal governance structure that oversaw the planning and implementation of the *e*GMS system?
b. Does your state have an IT strategy that includes the design, development, and implementation of *e*GMS?
c. And if so, is your *e*GMS system consistent with it? Did you prepare a business plan prior to design?
d. Does your *e*GMS system comply with specific data standards (i.e. Justice XML Data Dictionary v.X)? If so, which standard?
e. Does the *e*GMS handle all funding sources within the agency or is it limited?

Audience: Agency policy representative, *e*GMS manager/systems administrator, CIO policy representative, site POC

4. State/local issues.

a. How have your local-level users been engaged in the effort?
b. How many of them are using the *e*GMS?
c. Has a formal user group been formed and If so, what mechanisms are in place to facilitate communications/feedback between the user group and the system's managing entity?

d. Has your office provided assistance to local units of government and if so, what sort of assistance?
e. What types of barriers did you have to overcome when working with your local users?
f. Do you have statistics/performance measures to identify how well these users are using the system?

Audience: Agency policy representative, *e*GMS manager/systems administrator, program representative, fiscal representative, site POC

5. Funding.

a. How was the development and implementation of this system funded?
b. How did you cultivate financial support for this effort?
c. What advice regarding funding would you offer a state just getting started on an *e*GMS initiative?
d. What resources help you sustain your system, and from where do they come?

Audience: Agency policy representative, *e*GMS manager/systems administrator, site POC.

National Criminal Justice Association

Electronic Grants Management Initiative
Focus Group
AGENDA
May 13 – 14, 2004
Loews L'Enfant Plaza Hotel
Washington, D.C.

Thursday, May 13

3:30PM **Registration**

4:00PM **Welcome and Introductions**
Cabell Cropper, Executive Director,
National Criminal Justice Association
Dustin Koonce, Policy Advisor
Bureau of Justice Assistance

4:15PM **Focus Group Goals and Objectives**
Jay Marshall, NCJA Senior Staff Associate

4:30PM **Review of Case Studies and Associated Documentation – What's Missing?**

6:00PM **Plans for future implementation/enhancements in the Pilot**

6:30PM **Adjourn**

Friday, May 14

8:00AM **From the Top** (Working Continental Breakfast)
Jim Burch, Deputy Director for Policy
Bureau of Justice Assistance
Eileen Garry, Deputy Director for Programs
Bureau of Justice Assistance

8:30AM **Functional Attributes of an *e*GMS – Basic Elements for Success**
Redha Morsli,
The Integrated Justice Information Systems (IJIS) Institute

10:15AM **Break**

10:30AM **Federal eGMS Initiative - Moving Out**
Katie Root and Lowell Denning
Grants.gov Program Management Office

11:00AM **Uniform Budget Data Elements – Promising Future**
Bill Levis, Project Manager
Uniform Guidelines Coalition
The Urban Institute/NCCS

11:15AM **Challenges and Issues to Developing, Implementing, and Sustaining an *e*GMS – The Next Generation**

12:00PM **Where Do We Go From Here?**

1:00PM **Adjourn**

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